**Food and Agriculture Organization
of the United Nations
*Root and Branch Review***
Final Deliverable – Annexes N-S

17th April 2009

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Quality In Everything We Do

Table of Contents

Work-stream Finance and Budget Management

Annex N: New Planning and Budgeting Model

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Agenda

► **Introduction and key principles**

► **Activity-based planning**

► **Planning framework**

► **High level processes and responsibilities**

► **New PWB structure**

Agenda

► **Introduction and key principles**

► **Activity-based planning**

► **Planning framework**

► **High level processes and responsibilities**

► **New PWB structure**

Introduction
Main assumptions

The objective of this document is to describe the new FAO planning and budgeting model proposal and to analyze related logics and consequences

This proposal has been formulated on the basis of the following assumptions:

1. **The model has adopted the new FAO organizational structure as shown in the "Report of the Conference Committee on follow-up to the Independent External Evaluation of FAO (CoC-IEE) - Immediate Plan Of Action"**

2. **The proposal is "activity-based" and aims at reaching a high level of integration with the ongoing RBM project**

3. **The new model must address two critical objectives:**

   ► **Planning must become an effective and result-oriented management tool**

   ► **Improve the transparency of the information flows to the Members**

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Introduction
Key principles

In designing the new model, three main principles have been taken into consideration:

1 NEGOTIATION	**2** INTEGRATION	**3** ACCOUNTABILITY / EMPOWERMENT
▶ Create overall organizational commitment around agreed objectives	▶ Integrate and coordinate all planning activities and all funding sources	▶ Align the planning process with the activities actually carried out by the organizational units
▶ Create positive competition on resource allocation versus results and objectives	▶ Create a strong connection between MTP, PWB and AWP	▶ Assign responsibility to managers and give them a fair degree of authority and flexibility in using budgeted resources to achieve agreed results
	▶ Create a tight connection between the results chain and the organizational structure	▶ Review of external communication flows to members to increase transparency
		▶ Make sure reporting and monitoring are useful management tools

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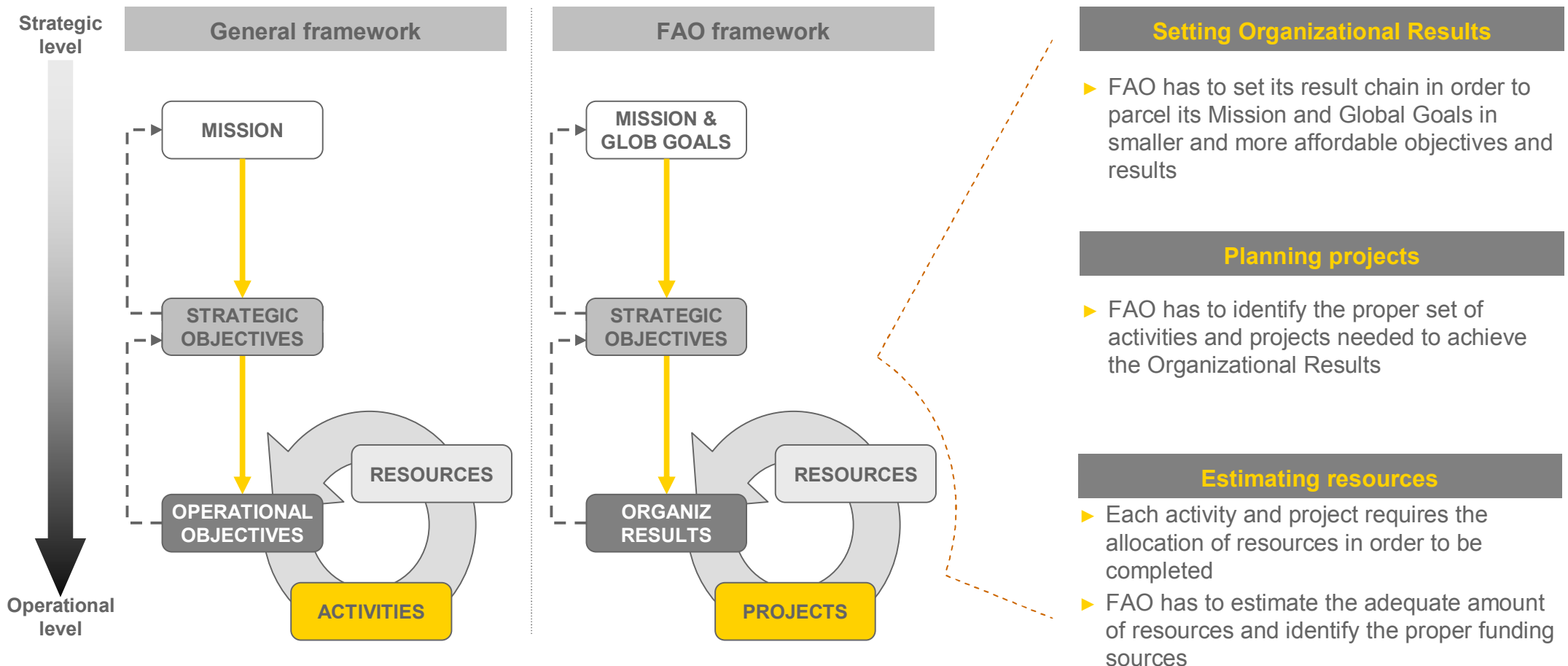# Agenda

► **Introduction and key principles**

► **Activity-based planning**

► **Planning framework**

► **High level processes and responsibilities**

► **New PWB structure**

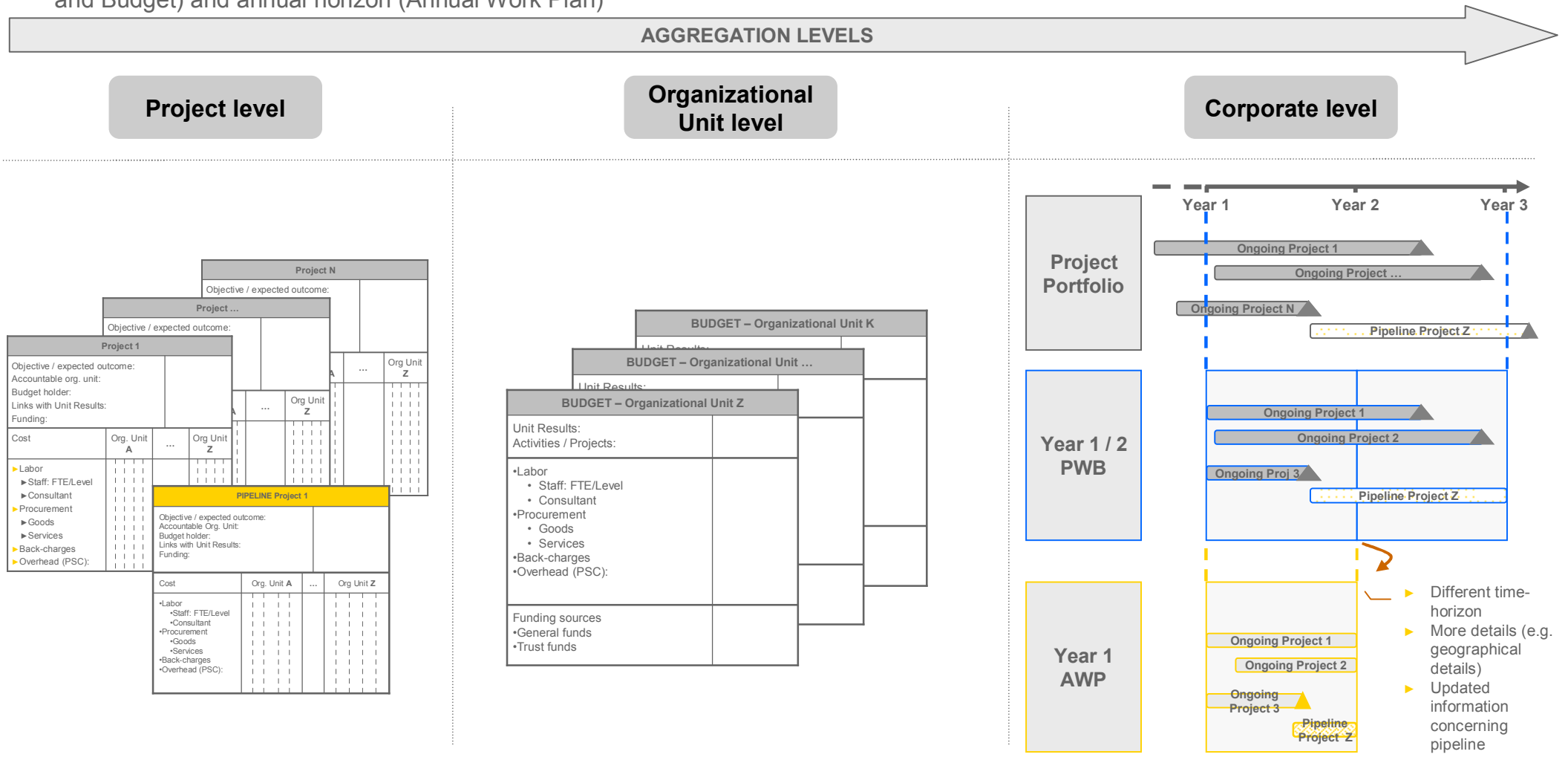ERNST & YOUNG

Activity-based planning
Framework introduction

► In an Activity Based Planning (ABP) framework, the main issue of the planning processes is to define which tasks need to be completed in order to meet expected results

► A set of coordinated activities, able to produce an outcome (good or service) and aimed to achieve a specific result, can be defined as a project (regardless of its funding source)

► Activities and projects require a proper amount of resources (HR, financial, etc.) to be estimated and mobilized

Strategic level

General framework

MISSION

STRATEGIC OBJECTIVES

RESOURCES

OPERATIONAL OBJECTIVES

ACTIVITIES

FAO framework

MISSION & GLOB GOALS

STRATEGIC OBJECTIVES

RESOURCES

ORGANIZ RESULTS

PROJECTS

Operational level

Setting Organizational Results

► FAO has to set its result chain in order to parcel its Mission and Global Goals in smaller and more affordable objectives and results

Planning projects

► FAO has to identify the proper set of activities and projects needed to achieve the Organizational Results

Estimating resources

► Each activity and project requires the allocation of resources in order to be completed

► FAO has to estimate the adequate amount of resources and identify the proper funding sources

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Activity-based planning
Projects aggregation

► The Activity Based Planning model allows information to be aggregated at different organizational levels, from single organizational unit (*) to Corporate; single project data are the logical "building block" of this approach

► Aggregation of all existing project (**) and pipeline information leads to define Corporate Plans with biennial horizon (Programme of Work and Budget) and annual horizon (Annual Work Plan)

AGGREGATION LEVELS

Project level	Organizational Unit level	Corporate level

Project level

Project N
Objective / expected outcome:

Project ...
Objective / expected outcome:

Project 1
Objective / expected outcome:
Accountable org. unit:
Budget holder:
Links with Unit Results:
Funding:

Cost	Org. Unit A	...	Org Unit Z
►Labor			
►Staff: FTE/Level			
►Consultant			
►Procurement			
►Goods			
►Services			
►Back-charges			
►Overhead (PSC):			

PIPELINE Project 1
Objective / expected outcome:
Accountable Org. Unit:
Budget holder:
Links with Unit Results:
Funding:

Cost	Org. Unit A	...	Org Unit Z
•Labor			
•Staff: FTE/Level			
•Consultant			
•Procurement			
•Goods			
•Services			
•Back-charges			
•Overhead (PSC):			

Organizational Unit level

BUDGET – Organizational Unit K
Unit Results:

BUDGET – Organizational Unit …
Unit Results:

BUDGET – Organizational Unit Z
Unit Results:
Activities / Projects:

•Labor
  • Staff: FTE/Level
  • Consultant
•Procurement
  • Goods
  • Services
•Back-charges
•Overhead (PSC):

Funding sources
•General funds
•Trust funds

Corporate level

Project Portfolio

Year 1 / 2 PWB

Year 1 AWP

Year 1   Year 2   Year 3

Ongoing Project 1
Ongoing Project …
Ongoing Project N
Pipeline Project Z

Ongoing Project 1
Ongoing Project 2
Ongoing Proj 3
Pipeline Project Z

Ongoing Project 1
Ongoing Project 2
Ongoing Project 3
Pipeline Project Z

► Different time-horizon
► More details (e.g. geographical details)
► Updated information concerning pipeline

(*) Organizational unit is understood as:
► Department or Division or Service / Branch OR
► Regional Office or Sub-Regional Office or Country Office

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Activity-based planning
Project Scheduling

► All projects (*) have to be managed using a "datasheet", in order to gather the right information and to allow different aggregations

► In the new model, the datasheet, once implemented in the IT system, will be the only data entry point for all activities carried out:

  ► It will be used as a planning tool, to define the budget and the specific set of activities

  ► It will be used as a management datasheet, to keep track of all relevant information (activities roll out, expenditures against budget, commitments, etc.)

► Indeed, these project datasheets should report different information:

  ► Accountable organizational unit

  ► Objective of the project (*) and links with results of a single organizational unit

  ► Funding source

  ► Overall budget, with the following details with time-split:

    ► Human resources (staff / non staff, FTE/level, etc.)

    ► Other costs (procurement, etc.)

    ► Overhead costs (PSC, etc.)

► In the new model, post-planning will be replaced by FTE planning

► To keep track of the actual activities performed by Staff and Non-Staff, for cost accountability purposes, it will be indispensable to implement a time-tracking tool (e.g. biweekly or monthly timesheet)

(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

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Agenda

► **Introduction and key principles**

► **Activity-based planning**

► **Planning framework**

► **High level processes and responsibilities**
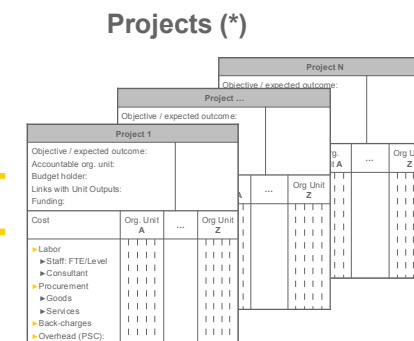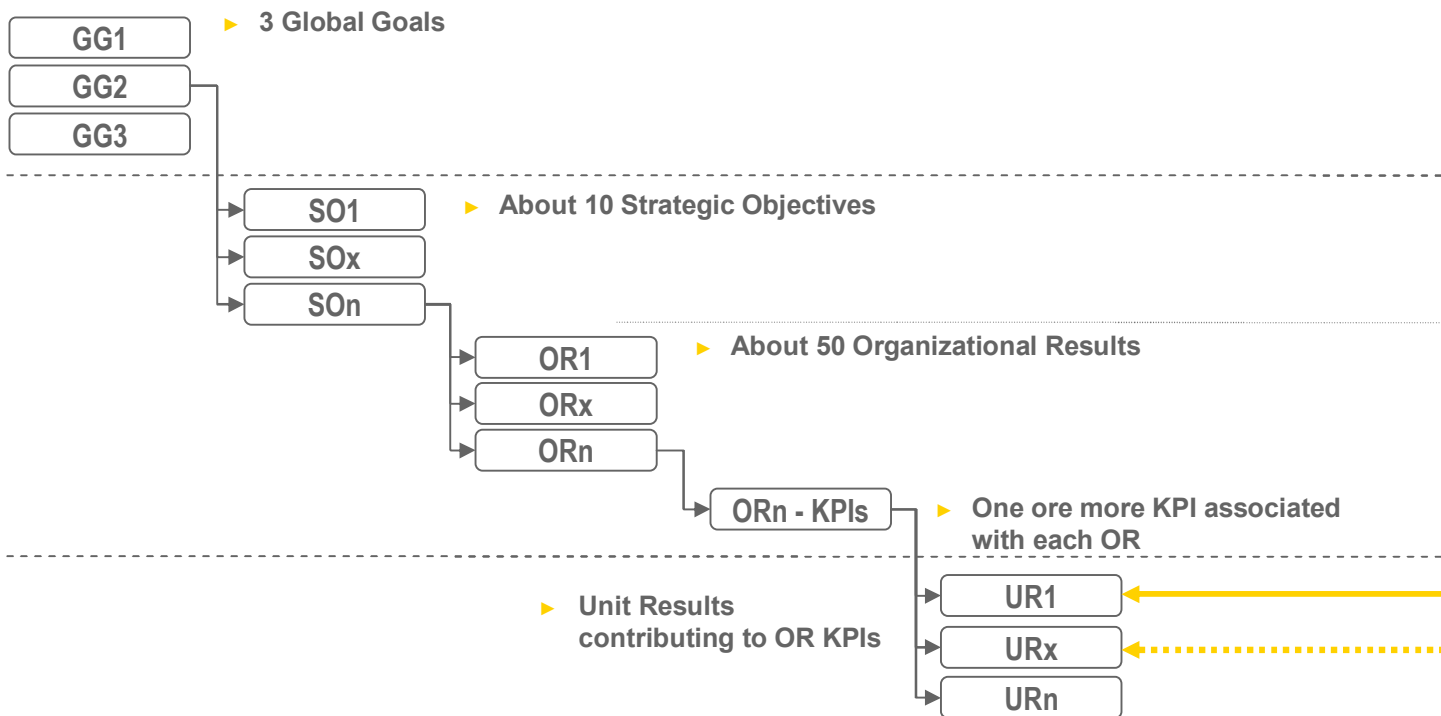
► **New PWB structure**

Results Chain

Activity based planning

GG1 — ▶ **3 Global Goals**
GG2
GG3

SO1 — ▶ **About 10 Strategic Objectives**
SOx
SOn

OR1 — ▶ **About 50 Organizational Results**
ORx
ORn

ORn - KPIs — ▶ **One ore more KPI associated with each OR**

▶ **Unit Results contributing to OR KPIs**

UR1
URx
URn

Projects (*)

| Project N |
| Project ... |
| Project 1 |

Objective / expected outcome:
Accountable org. unit:
Budget holder:
Links with Unit Outputs:
Funding:

| Cost | Org. Unit A | ... | Org Unit Z |

▶ Labor
  ▶ Staff: FTE/Level
  ▶ Consultant
▶ Procurement
  ▶ Goods
  ▶ Services
▶ Back-charges
▶ Overhead (PSC):

▶ Project (*) outcomes are directly linked to one ore more Unit Results agreed with the organizational unit in which the project budget holder is placed, being the unit free to organize its-self in order to achieve the expected results

▶ According to the aim of an Activity Based Planning, results should be defined as **SMART** objectives (**S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**imeframed)

▶ For accountability purposes, the links between the result chain and the organizational hierarchy should be well evaluated, and budget holder roles should be assigned coherently
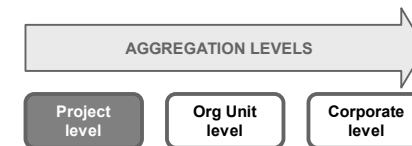
Planning framework
Result chain – Illustrative example

AGGERGATION LEVELS

| Project level | Org Unit level | Corporate level |

ILLUSTRATIVE
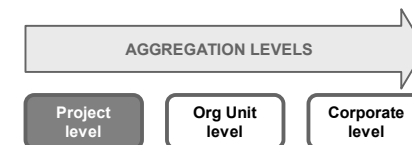
Result		KPIs		Leader / Accountable	Links with project (*)
		PWB	MTP		
SO1	Sustainable intensification of crop production			ADG AG (Agriculture department)	
OR1	Increase the use of new irrigation technologies in crop production	+ 30 countries	+50 countries	ADG AG (Agriculture department)	
ORI1.1	Increase the number of Latin countries adopting the new XYZ technology for crop irrigation	+10 Latin American countries	+15 Latin American countries	ADG RLC (RO for Latin America and the Caribbean)	
UR1	Deliver new irrigation pipelines in all South American countries	Bolivia: 10 tons …. Uruguay: 150 tons		RLC (RO for Latin America and the Caribbean)	One single large project, managed by an RLC professional, with participation of staff from all involved country offices
UR2	Sustain local farmer in applying new irrigation techniques in Central America	12 months support in each country		SLC (SRO for Central America)	Different projects for each relevant country, managed by one professional of SLC, with contributions from all involved country offices and from HQ tech divisions
UR3	Organize seminar to teach how to use new technologies in Peru	5 seminars in 5 different cities		FAOR Peru	Five different projects, all managed by the FAOR with contributions from regional professionals
URx	…….	…			
ORI1.2	Develop teaching material on how to use new technologies in crop production	Manual in 5 different languages	E-learning module to teach the manual	ADG NR (Natural Resources)	
URy	Describe new technology features	Complete manual section		NRL (Land and Water Division)	One single project, managed by a NRL professional
URk	New technology application worldwide	Complete manual section		ESS (Statistic Division)	One single project, managed by an ESS professional with participation of staff from relevant Regional Offices
URz	Impact on fertilization processes	Complete manual section		AGP (Plant Production and Protection Division)	One single project, managed by an AGP professional
URx	…….	…			

(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

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Planning framework
Proposed definition of the project budget holder role
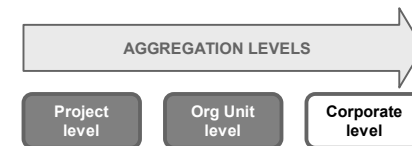
► The Budget Holder is responsible for the delivery of the projects (*) assigned

► BH is accountable for the achievement of expected results and he/she is responsible for managing all resources assigned to a his/her project (*)

► In particular BH is responsible for the following activities related to a project:

  ► Planning of resources / activities

  ► Operational and budget monitoring and reporting

  ► Budget and resource management

  ► Operational transactions (e.g. POs, hiring staff, etc.)

► The role should be assigned to people who can follow activities from both a technical as well as a managerial point of view; the BH does not necessarily correspond to the responsible of the organizational unit

► As a general principle BH should be able to manually interact with the IT systems in order to input data and request reports concerning his/her activities. BHs who, according to the hierarchical chain, have to coordinate other BHs (e.g. a regional ADG) may be assisted by an administrative clerk. Other specific situations (e.g. BHs with more than one large project (*)) should be assessed case by case

► Organizational unit can be required to provide support to the delivery of projects (*) / activities managed by budget holders of other units. In these cases, the supporting unit needs an appropriate empowerment in terms of resource allocation (both human and financial) to perform these activities, but the overall responsibilities remain on the project budget holder (who is accountable for the final outcome of the project)

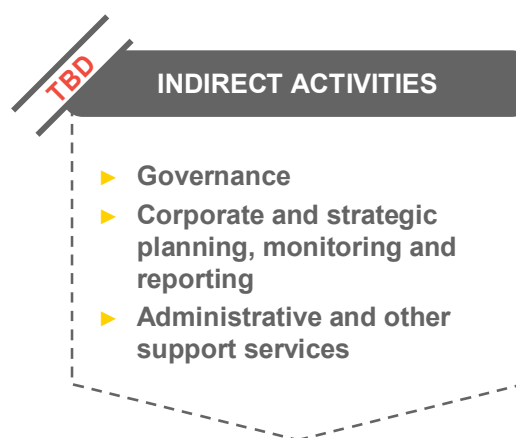*Suggested Budget Holder location by project type*

BH location / Project type	Country Offices	Sub-Regional Offices	Regional Offices	Technical Divisions – Services / Branches
Global Project				✔
Inter-regional Project				✔
Regional Project			✔	
Sub-regional Project		✔		
Country Project	✔			

(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

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Planning framework
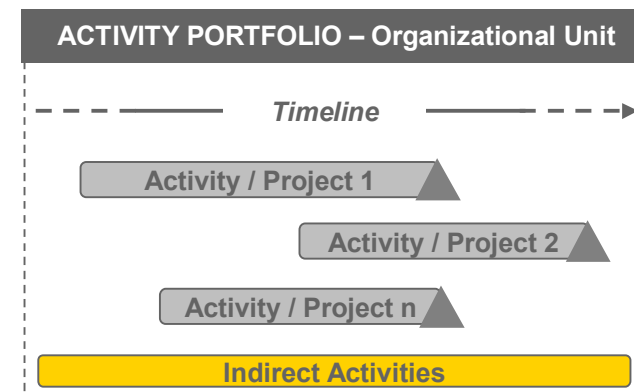## Direct / indirect activity definition

► FAO's activities can be divided into "direct" activities and "indirect" activities:

  ► Direct activities are all those tasks related to projects (*)

  ► Indirect activities are all those tasks that enable direct activities to be effectively completed

► Indirect activities have to be planned using a specific datasheet, as direct ones, and the budget holder will be responsible of the relevant organizational unit

► Aggregation of all projects (*) and indirect activities datasheets, for each organizational unit, will provide the overall Activity Portfolio and Budget

(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

Planning framework
Planning process

► At the beginning of the planning process each organizational unit has to formulate its proposal containing:

  ► Unit Results

  ► Definition of its-own activity portfolio:

    – Ongoing projects (*)

    – Project pipeline - if any (**); clear criteria has to be formulated, fixing the requirements that pipeline projects must meet to be considered in the planning processes

    – Indirect, enabling activities as a consequence of direct ones

  ► Budget and financial sources forecasts

► All complete proposals are discussed, filtered and aggregated during internal Area reviews and relevant negotiation rounds

Incoming proposals

Negotiation rounds

Prioritized and negotiated proposals

Priority

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(*)   Project is understood as either EB or RP project (or a mix), according to the definition at page 7

(**) Worth mentioning that filling in a datasheet for a pipeline project does not give any

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Planning framework
Negotiation and collaborative approach
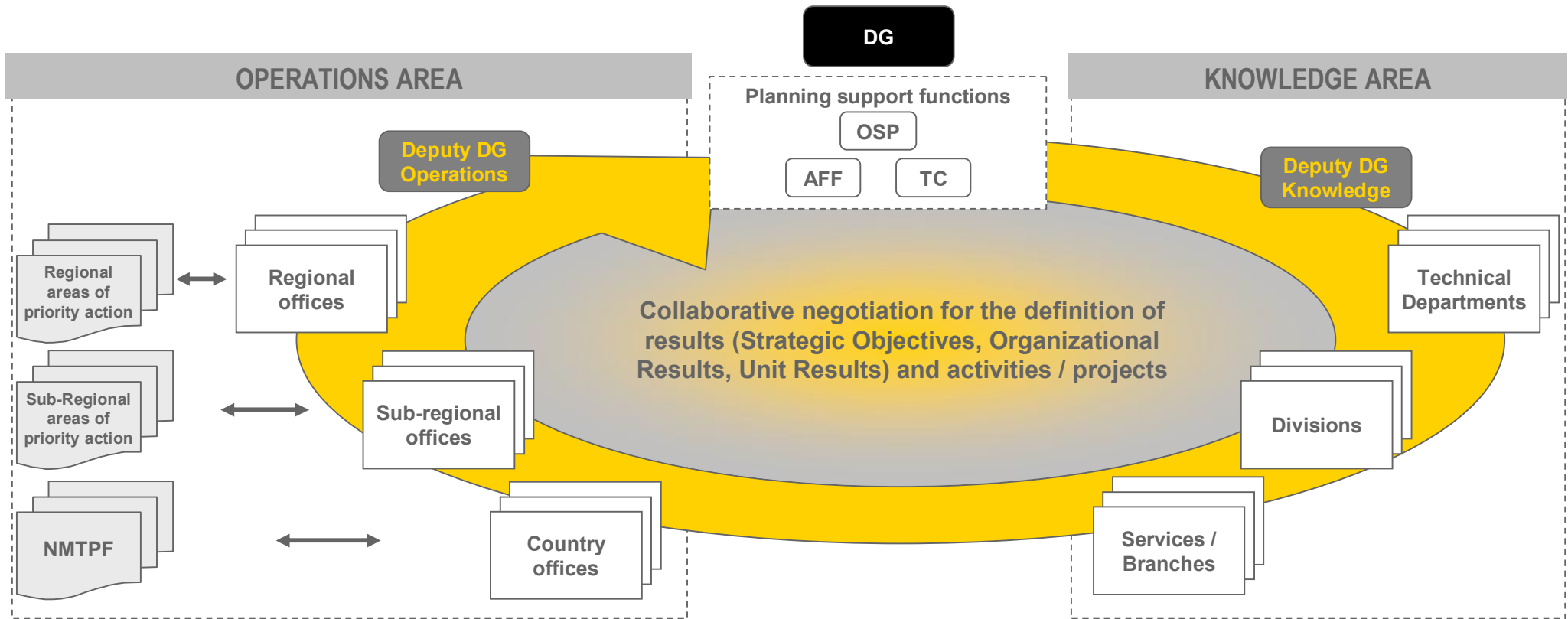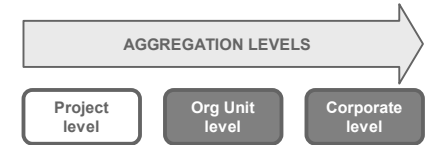
► The Office of Strategy, Planning and Resources Management (OSP) coordinates the entire planning process, with support from AFF and TC

► OSP and TC also provide the quality assurance for the overall planning process

► The negotiation cycle is a two-steps approach:
  ► At first, proposals containing results, projects (*) and budget are filtered negotiated, integrated and consolidated resulting in one planning proposal per each Department, Region and Independent Office
  ► Successively the consolidated proposals are brought to the corporate negotiation rounds where, under the coordination of the planning support functions, the proposals are discussed, refined and finalized

► Internal negotiation should be driven by National Medium Term Priority Framework documents and other similar agreements, that allow Donors' and recipient countries' needs to be brought into the negotiation cycle

► After negotiation rounds are concluded, Organizational Results and related KPIs should be clearly parcelled among Unit Results and projects (*)

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(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

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Planning framework
Corporate overview
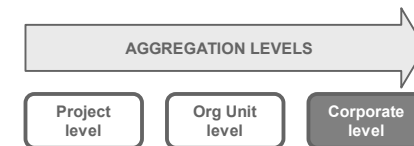
► At the beginning of each biennial planning cycle, project datasheets will feed the new process as follows (*):

  ► Ongoing extra-budgetary funded projects will already have an existing datasheet and can be carried forward if activities will continue during the next PWB period

  ► Ongoing regular programme projects, if planned to continue in the next period, will have a datasheet that needs to be renewed, reapproved (by the Conference) and re-funded, throughout the PWB approval process

  ► New RP project ideas, will be formalized using a new datasheet and will need to be approved throughout the PWB approval process

  ► Pipeline information ("mature" EB projects, not already started but likely to be defined within the biennium) will be used to create a specific project datasheet, to be further updated when agreement with donors will be signed

► Information about ongoing and future indirect activities will also be input in the process

► Using datasheets, the planning processes will not result in additional work (they will be mostly created during day-to-day activities) and they will serve as effective management tools supportive for the operational work, but they need to be effectively supported by an IT corporate platform

► This approach will allow to easily retrieve data required for the preparation of PWB and AWP, since it provides the full picture of all activities / projects (both ongoing and potential)

CORPORATE Activity Portfolio

Year 1 | Year 2 | Year 3

Ongoing Pjt (already funded)

Ongoing Pjt (already funded) — Renewed Pjt (to be re-approved and re-funded)

Pipeline Pjt (to be funded)

Indirect Activities

Year 1 / 2 - PWB

Year 1 - AWP | Year 2 - AWP

Planning cycle start
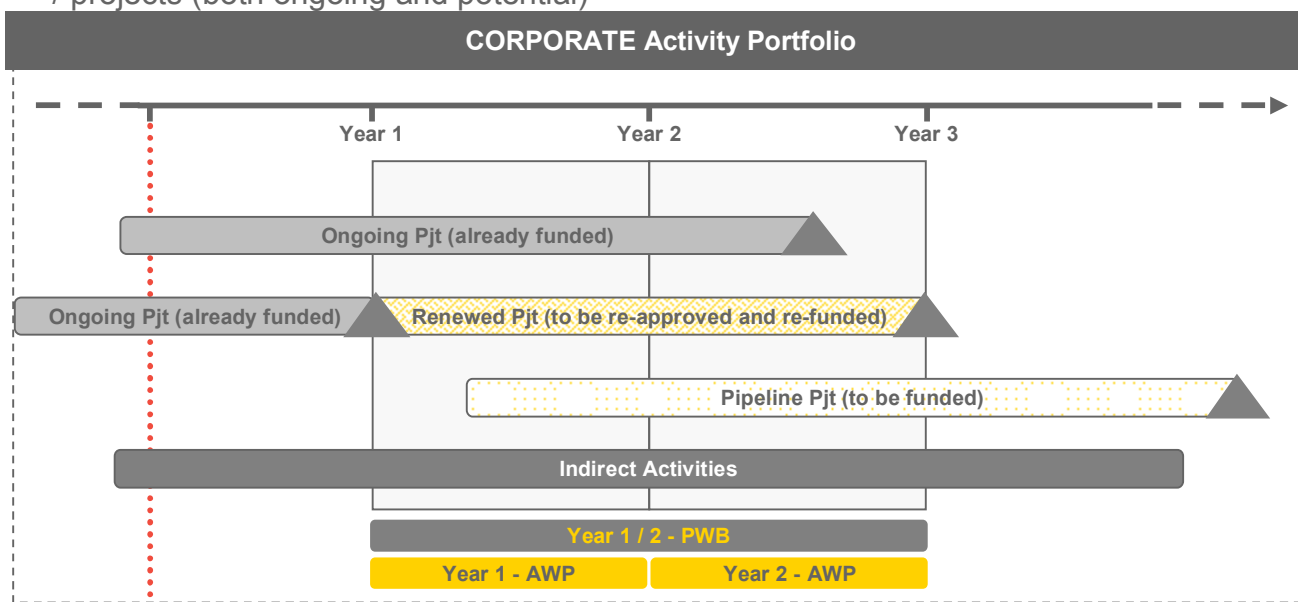
Basic views

Optional views

Economic budgeting
- Detailed budget for each activity
- Timeframe of expected expenditures
- Different organizational level views

KPI / Quantitative data
- Relevant indicators of contribution to the progress / output of each Unit Result
- Other project management indicators

Detailed activity plan

Financial planning

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(*) Multisource (RP and EB) funded projects will have different authorization flows, according to the specificities of the funds mix and to the timeframe

Planning framework
Change in planning focus

Today

$

Trust funds

General funds

Total funds | Programme entities | Other projects
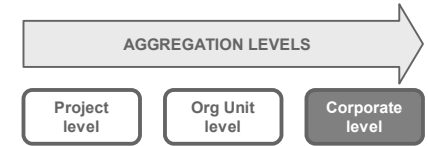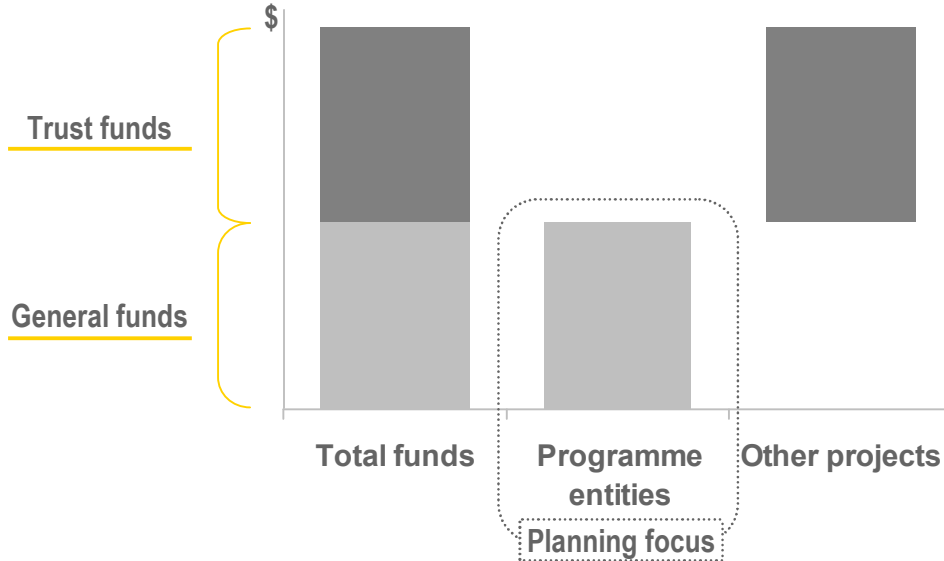
Planning focus

► Today's planning model is focused on funds

► Funds request are detailed by chapters, programmes and their breakdown (programme entities)

► Extra- budgetary projects are planned separately with very few details

► It is not easily understandable which part of funds are used for the structure and which part is delivery

► Expected outcomes are not set

To-be

$

Trust funds

General funds

TOTAL | Indirect | Direct | Funding strategy
| | Ongoing pjts | Pjt pipeline |

Planning focus
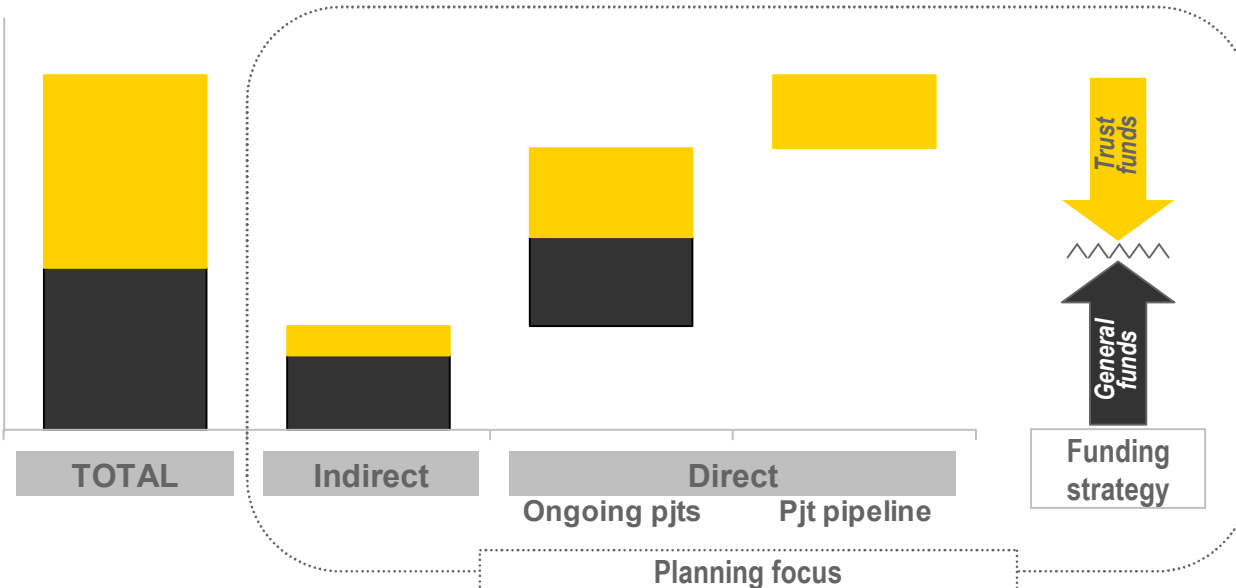
► The future model will be focused on the overall activities of each organizational unit, regardless of their funding

► The connection between funds required for activity / projects (*) and results will be clearly defined

► Funding strategy (both at HQ and local level) will be a specific topic, partially independent from the programming activity

(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

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Agenda

► **Introduction and key principles**

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► **High level processes and responsibilities**

► **New PWB structure**

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PWB, AWP and Forecasting processes
Introductory representation of sub-processes

► The planning process has been divided into two main processes: the PWB formulation and the AWP formulation and monitoring

► The main activities and responsibilities are described in the next slides

Strategic planning → Medium term planning (MTP) → Biennial planning (PW B) → Annual work-planning (AWP) → Monitoring & reporting

C. Biennial planning
- C.1 Corporate Planning guidance
- C.2 Definition of targets and resources
- C.3 Financial and funding planning
- C.4 PWB approval

D. Annual work-planning
- D.1 AWP formulation and validation

E. Monitoring & reporting
- E.1 RP internal monitoring and reporting
- E.2 EB internal monitoring and reporting
- E.3 Forecasting and external reporting

PWB, AWP and Forecasting processes
High-level Gantt

		YEAR -1	YEAR 0				YEAR 1	
		IV Quarter	I Quarter	II Quarter	III Quarter	IV Quarter	I Quarter	II Quarter
Biennial Planning	**C.1 Corporate planning guidance**	Definition of organizational results and fund envelopes / Guidance for PWB planning						
	C.2 Definition of targets and resources		Project / activity portfolio proposals / Negotiation rounds / Agreement on unit results, activities and resources					
	C.3 Financial and funding planning		Cost and financial projections / Financial and funding strategies review / Financial approval of PWB proposals					
	C.4 PWB approval		PWB proposal final review and approval / Presentation of PWB proposal to Governing Bodies and approval	Year 1/2 PWB			Year 1/2 PWB implementation	
Annual work-planning	**D.1 AWP formulation and validation**				Definition of RP institutional allotments	Definition and updating of AWP proposals / Validation of AWP	Year 1 AWP / Year 1 AWP implementation	

PWB, AWP and Forecasting processes
High-level Gantt

		YEAR 1				YEAR 2			
		I Quarter	II Quarter	III Quarter	IV Quarter	I Quarter	II Quarter	III Quarter	IV Quarter
Monitoring & reporting	**E.1 RP internal monitoring and reporting**	Continuous monitoring and reporting process							
		Continuous variances analysis and issue addressing							
	E.2 EB internal monitoring and reporting	Continuous monitoring and reporting process							
		Continuous variances analysis and issue addressing							
	E.3 Forecasting and external reporting	Continuous monitoring process							
		Periodic reporting to donors							
		Periodic reporting to Gov Bodies							

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PWB, AWP and Forecasting processes
Strategy, operational and monitoring poles

STRATEGY & RESULTS MONITORING POLE

Corporate result planning and assessment (all resources)

OPERATIONAL POLE

Project (*) and activity planning, implementation and monitoring

FINANCIAL MONITORING POLE

Financial planning and budget monitoring (all resources)

ODG

OSP

DDG Operations

DDG Knowledge

Corporate Services and Finance

TC

ROs

TECHNICAL DEPTs

AFF

Pjt

SROs

Divisions

COs

Services / Branches

(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

PWB and AWP processes
Main responsibilities (1/3)

ENTITY		Responsibilities during PWB process	Responsibilities during AWP and monitoring process
GOVERNANCE	GOVERNING BODIES	▶Approve the PWB document ▶Decide on assessed contributions	▶Approve the annual report and biennial external reports ▶Verify and approve RP institutional allotment shifts among different Strategic Objectives
	ODG	▶Provide general guidance on priority and strategic objective setting ▶Define general planning scenario ▶Validate and approve detailed planning guidance ▶Supervise corporate planning process ▶Review the final PWB proposal and submit it to the Governing Bodies	▶Supervise the corporate planning process ▶Validate the annual report and biennial external reports ▶Validate and approve RP institutional allotments
	DDGs	▶Provide strategic direction to and oversight over the project and activities carried out by the bodies below them ▶Define the planning guidance for his/her units ▶Participate together with OSP and the ADGs to the definition of the result chain and in particular Strategic Objectives and Organizational Results ▶Coordinate the activities of the DOs and Departments when formulating the PWB and AWP, fostering the integration, the sharing of information, and the cross-departmental work ▶Validate and approve the planning and financial proposals for his/her area of responsibility (for PWB and AWP)	
	ADGs / HEADS OF INDEPENDENT OFFICES	▶Participate together with OSP and the DDGs to the definition of the result chain and in particular Strategic Objectives (for which they are accountable) and Organizational Results ▶Lead intra-department, intra-region and intra-independent office negotiation and consolidate their own planning proposals ▶Discuss and finalize planning proposals in specific negotiation rounds	▶Lead intra-department , intra-region and intra-independent office negotiation and consolidate their own planning proposals ▶Discuss and finalize planning proposals in specific negotiation rounds ▶Manage intra-department, intra-region and intra-independent office RP working allotment in collaboration with BHs and AFF ▶Monitor financial and operative results against budget for the coordinated units and budget holders

PWB and AWP processes
Main responsibilities (2/3)

ENTITY		Responsibilities during PWB process	Responsibilities during AWP and monitoring process
SUPPORT	**OSP**	▶Provide guidance on PWB drafting, result setting and result planning ▶Develop the corporate integrated resource mobilization strategy and policy, in close relation with TC ▶Coordinate and lead the negotiation rounds ▶Collect all planning proposals and review their consistency according to guidance, in collaboration with TC and AFH ▶Check the overall consistency between expected results and financial estimates ▶Consolidate PWB proposals and prepare the final PWB proposal to be submitted to the ODG ▶Provide Quality Assurance concerning the PWB process deployment	▶Issue annual RP institutional allotments at Strategic Objective / ADG level for each ADG / Head of Independent Office ▶Manage the process to assign new unearmarked resources in collaboration with AFF and, for EB projects, with TC ▶Verify consistency between targets and annual results ▶Monitor achievements of overall organizational results and manage RP institutional allotments shifts in collaboration with ADGs and AFF ▶Provide Quality Assurance concerning the AWP process deployment ▶Responsible for preparation of the annual and biennial reports ▶Responsible for result reporting to management

	AFF	▶Provide and review financial information including:
		  ▶Standard costs
		  ▶Support costs
		  ▶Staff related liabilities
		  ▶Reserves (including implication of RP/EB integration)
		  ▶Income forecasts (including Member contributions, GCCC, sundry incomes, jointly financed activities, investment and bank interests, etc.)
		  ▶PWB implications of ongoing capital budgeting exercise
		  ▶Other financial information related to the financial health of the Organization
			▶Check AWP financial consistency with EB donor agreements and annual RP institutional allotments
			▶Ensure the appropriate ongoing resource allocation within the envelope of Strategic Objective / ADG allocations, reporting all financial implications and identifying possible needs for action
			▶Monitor ongoing financial results against budget (variances analysis, forecasts, FOREX impacts analysis, etc.)
			▶Monitor support cost recovery (PSC)
			▶Identify needs to invoice donors
			▶Responsible for financial reporting to donors and to management

	AFH	▶Provide guidance for HR targets (e.g. FTE / level, GPA ratio, etc.) ▶Gather information related to staff costs ▶Review planning proposal consistency according to guidance, in collaboration with OSP and TC	▶Support staff management initiatives
	TC	▶Provide estimates (income and expenditures) for EB expected and ongoing projects (with a biennial perspective) ▶Support OSP in implementing the corporate integrated resource mobilization strategy and policy at field level ▶Review planning proposal consistency according to guidance, in collaboration with OSP and AFH (EB project proposals consistency with the overall envelope)	▶Monitor operational planning, delivery progress and outcomes for EB projects (economic and operative KPIs with a single projects and whole lifespan perspective) ▶Monitor resource mobilization activities and pipeline ▶Support OSP in the process of managing new unearmarked resources for EB projects ▶Responsible for preparation of narrative EB project reports for Donors and management

PWB and AWP processes
Main responsibilities (3/3)

ENTITY	Responsibilities during PWB process	Responsibilities during AWP and monitoring process
HEADS OF ORGANIZATIONAL UNITS (Knowledge area, Operations area, Independent offices)	• Prepares its PWB proposals (results, project (*) portfolio and indirect activities) • Estimate resource requirements and costs • Collect and integrate proposals (throughout the hierarchical chain) and collaborate with ADGs / Heads of Independent Offices in consolidating them into a single proposal at Department, Region and Independent Office level	• Update and refine PWB proposal to be included in the AWP, according to updated information and assessed contributions • Discuss and integrate AWP updated proposals throughout the hierarchical chain (as in the PWB process) • Monitor budget holders responsible for projects (*) (if any) and indirect activities • Monitor operational planning and assess results against organizational results and against resources planned
BUDGET HOLDERS	• Responsible for the delivery of the projects (*) assigned • Accountable for all managerial and technical activities related to a project (*) (planning of resources / activities, operational monitoring and reporting, budget monitoring, forecasting and reporting, etc.)	

(*) Project is understood as either EB or RP project (or a mix), according to the definition at page 7

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New PWB logical structure
Post-planning separation

Today

In the current PWB process /document there is a **strong presence of post-planning.**

In the future, this allocation of posts to programmes will not be part of the PWB and should be **split into different processes / documents.**

PWB AS-IS

1 Revised PWB structure

2 Separated Post-planning

To-be

PWB

I RESULT & ACTIVITY PLANNING

II FINANCIAL PLANNING

III FUNDING PLANNING

▶ **Programming document, with targets, activities and related resources**

▶ **Result-oriented**

▶ **Focus on both regular programmes and trust funds activities**

▶ **More details on non-HR costs**

OUT OF SCOPE

Post planning

New PWB logical structure
Draft Table of Contents (1/3)

Section	Content	Comments / Examples
Introduction	► Director-General's introduction ► Scope of the document	
Section I. Overall Context	► General background information ► Major global trends ► Main challenges in each geographical area	► Integration of regular budget and extra-budgetary resources * ► Introduction to Strategic Framework and RBM *

Section II.
Key Financial and Budgetary Issues
	► Narrative details on key financial and budgetary issues, e.g.:
	  ► FOREX hedging
	  ► Passive interest costs
	  ► Inflation and cost increase
	  ► Other liabilities (e.g. staff related schemes)
	► Main budget figures:
	  ► Result view with geographical details
	  ► Organizational view (S.O. and Dept. / RO level)
	► Draft resolutions for adoption by the Conference	

* Only for PWB 2010- 2011

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Section	Content	Comments / Examples
Annex 1: Strategic Objectives analysis	For each **Strategic Objective**: ► Scope of SO ► Links with other SOs ► Major FAO partnerships and collaborative arrangements contributing to the achievement of Organization-wide expected results, and included within the budgetary envelope ► Issues and challenges ► Assumptions and risks associated with the achievement of the SOs ► Total budget of SOs by geographical area (Total) ► Breakdown of SOs resources at HQ, ROs, SROs and COs levels (total figure per level)	Provided by unit accountable for Strategic Objective

Annex 2: Organizational Results narratives and resources tables	► Detailed narratives covering substantive thrusts and planned actions under the various Organizational Results
	
	► Budget of each SO broken down by **Organizational Results**:
	  ► Definition of indicators and milestones (2 yrs) for each Organizational Result
	  ► Breakdown of each Organizational Result's resources by geographical area
		Provided by unit accountable for Organizational Result

Total Budget for SO 1 for Biennium (in $ 000)

Europe	Africa	Near East	Asia and Pacific	Latin America / Caribbean	Global	Total
2000	10000	2000	5000	5000	9000	**33000**

Resource Breakdown for SO 1 (in $ 000)

COs	SROs	ROs	HQ	Total
11000	6500	6500	9000	**33000**
33%	20%	20%	27%	100%

Organizational Result 1:	Description of OR 1		
Indicator 1	Description Indicator 1	**Indicator x**	Description Indicator x
Baseline	130	Baseline	60
Milestone	140	Milestone	85

Resource Breakdown for OR 1 (in $ 000)

Europe	Africa	Near East	Asia and Pacific	Latin America / Caribbean	Global	Total
1000	5000	500	2000	3500	4000	**16000**
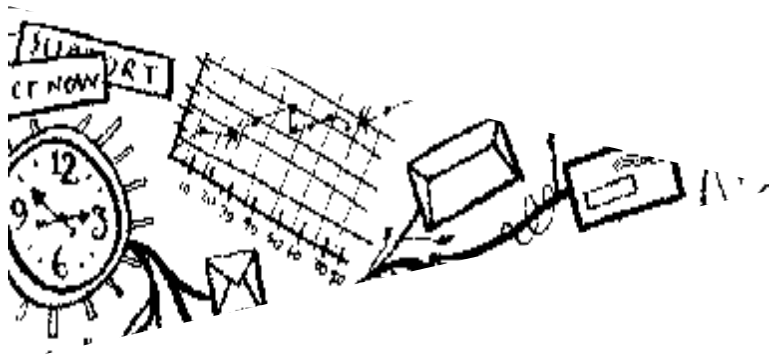
New PWB logical structure
Draft Table of Contents (3/3)

Section	Content	Comments / Examples
Annex 3: Financial information	► Detailed financial figures on: ►Standard costs ►Support costs ►Staff related liabilities ►Reserves (including implication of RP/EB integration) ►Income forecasts (including Member contributions, GCCC, sundry incomes, jointly financed activities, investment and bank interests, etc.) ►PWB implications of ongoing capital budgeting exercise ►Other financial information related to the financial health of the Organization	
Other annexes	► Additional tables for resources breakdown and geographical details, e.g.: ► Direct / indirect activities ► Breakdown by Divisions ► Geographical breakdown ► Breakdown of proposed budget by strategic objective, ROs / HQ and funding source ► Total resource availability, consisting of the proposed net appropriations, other income (e.g. World Bank, PSC), and estimated voluntary contributions ► Organigrammes	(see table below)

Divisions / Geographical Area	Total Funding	Assessed Contribution	Voluntary Contribution
AGD			
AGE			
AGP			
…			
Total AG			
…			
Total ES			
NRC			
…			
Total NR			
Africa			
Africa			

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New PWB logical structure
PWB building elements and informative objectives

Work programming → *Reconciliation* → **Additional Financial information**

I — RESULT & ACTIVITY PLANNING (PLUS OTHER FINANCIAL INFORMATION)

OVERALL PLANNING

	Actual	Next biennium
Result view		
Organizational view		

II — FINANCIAL PLANNING

FUND REQUEST

	Total resources required	General fund appropriation	Expected voluntary contributions
Result view			
Organizational view			

III — FUNDING PLANNING

Higher transparency of the new PWB structure should allow an easier and quicker approval process

CONFERENCE APPROVAL

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Work-stream Finance and Budget Management

Annex O: To-be P&B processes

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Agenda

► **Biennial planning**

► **Annual work-planning**

► **Monitoring & reporting**
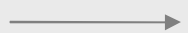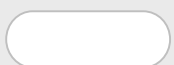
Planning, monitoring and reporting processes
Introduction

▶ The Root and Branch Review Stage II proposed a completely renewed Planning and Budgeting model, based on activities and results

▶ Hence a substantial re-engineering of existing processes was required, in order to introduce the new concepts and to implement the new approach

▶ The new model is organized on three main processes and a series of sub-processes:

  ▶ Biennial planning

  ▶ Annual planning

  ▶ Monitoring and reporting

▶ The new biennial planning process was designed with the aim of providing FAO with a negotiated and integrated planning cycle, in order to create a biennial plan showing the overall corporate objectives, related activities and overall financial resources (Assessed and Voluntary Contributions)

▶ The approach used for the new annual planning process aimed to create a streamlined process, providing a new internal document, able to lead the short-term organizational activities towards planned objectives.

▶ Finally, the monitoring and reporting processes were not initially foreseen in the final deliverable and have been designed only at corporate level, with a lower level of detail. Project and activity implementation process and operational monitoring were considered as inputs for the corporate monitoring and thus out of scope

Planning, monitoring and reporting processes
Symbols

Symbol	Description
	Activity performed by an Organizational Entity
	Document / Plan
	Decision point requiring intervention or approval, for which there can only be 2 outcomes (es. yes / no)
	System / Data-base supporting the activity
	Information / activity flow
	Connection to other process
	Terminator
	Separator: represents input and output areas in the flow

Agenda

► **Biennial planning**

► **Annual work-planning**

► **Monitoring & reporting**

Biennial planning
Introductory representation of sub-processes

INPUT	OUTPUT	INVOLVED FUNCTIONS	MAIN ROLES & RESPONSIBILITIES
▶DG's guidance on priorities, strategic objectives and planning scenario ▶HR planning process	▶Approved PWB	Governing Bodies	Final approval
		ODG	Initial guidance and final proposal approval
		DDGs	Process guidance, proposals negotiation and final proposal review
		ADGs / Heads of Independent Offices	Intra dept/region/ind. office proposals and results (SOs, ORs, URs) negotiation; Inter dept/region/ind. office proposals and results negotiation
		OSP	Process coordination, planning guidance (results), proposals review, quality assurance
		TC	Planning guidance (EB projects) and proposals review
		AFF	Costs analysis, financial review and integration
		AFH	Planning guidance (HR) and proposals review
		All planning units	Proposals formulation

Biennial planning – Flowchart
Sub process C.1: Corporate planning guidance

	INPUT	ACTIVITIES	OUTPUT

ODG
- General guidance on priorities, strategic objectives and planning scenario
- Guidance validation ? — NO / YES
- Discuss guidance with ODG
- PWB formulation guidance

DDGs
- Define overall result and fund envelopes
- Prepare / amend guidance for planning units

OSP
- Provide info concerning RP and result setting
- Provide info concerning resource mobilization strategy
- Quality requirements met ? — YES / NO
- Provide quality assurance

TC
- Provide info concerning ongoing EB projects and pipeline

AFH
- HR planning process
- Provide info concerning HR ratios and targets

Biennial planning – RACI Matrix
Sub process C.1: Corporate planning guidance

Activity	ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
1 General guidance on priorities, strategic objectives and planning scenario	R	I	I	I	I	I	I	I
2 Provide information concerning RP envelope and result setting		I	I		R			
3 Provide information concerning the resource mobilization strategy		I	I		R			
4 Provide information related to ongoing projects and pipeline		I	I			R		
5 Provide HR guidance: ► FTE / level targets ► Other ratios targets (e.g. GPA)		I	I				R	
6 Prepare guidance for planning units defining overall result and fund envelopes		R	I		I	I	I	
7 Check guidance compliance with quality requirements		I			R			
8 Discuss guidance with ODG	R	R			C			
9 Approve guidance to be sent out to planning units	AR	I			I			
10 Send out guidance to planning units	AR	I	I	I	I	I	I	I

R – responsible: the structure which performs the activity – the doer – there can be more than one
A – accountable: the structure that is held liable for consequences of the activity – there can be only one
C – consulted: the structure that must always be consulted before a decision or action is taken
I – informed: the structure that must always be informed after a decision or action has been taken

(*)   Including the Programme Coordination Units when relevant
(**)   All planning units included in the Knowledge and Operations Areas and in the

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Biennial planning – Flowchart
Sub process C.2: Definition of results and resources

	INPUT	ACTIVITIES	OUTPUT

AFH

HR planning process

OSP

Set up of negotiation rounds

Carry out of negotiation rounds to:

▶ Assess the matching between Corporate priorities and field priorities

▶ Define the Corporate Result Chain (SOs, ORs and URs) and assess the links with projects

▶ Discuss and finalize proposals (project portfolios, indirect activities and resources requirements)

▶ Define and settle issues related to operational planning and technical support in projects

Review proposals consistency with guidance

Are proposals consistent?   NO

YES

Negotiate / propose amendments to planning units

Agreed results, activities and resources

TC

DDGs

PWB formulation guidance

ADGs / HEADS OF IND OFFICES *

Negotiate, prioritize and integrate proposals with planning units and prepare consolidated proposals

ALL PLANNING UNITS **

Analyze priorities and guidance and define project portfolio, indirect activities and resource requirements

Biennial planning – RACI Matrix
Sub process C.2: Definition of results and resources (1/2)

Activity	ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
1 Analyze priorities and formulate PWB proposals, according to guidance, with: ▶ Result breakdown ▶ Project portfolio ▶ Indirect activities ▶ Resource requirement		I						R
2 Negotiate, prioritize and integrate proposals with planning units and prepare consolidated proposals for each Department, Region and Independent Office			R					I
3 Organize specific negotiation rounds to negotiate and consolidate PWB proposals		I	I		R	I		I
4 Participate in negotiation rounds to: ▶ Assess the matching between Corporate priorities and field priorities ▶ Define the Corporate Result Chain (SOs, ORs and URs) and assess the links with projects ▶ Discuss and finalize proposals (project portfolios, indirect activities and resources requirements) ▶ Define and settle issues related to operational planning and technical support in projects		R	R		AR	R		

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Biennial planning – RACI Matrix
Sub process C.2: Definition of results and resources (2/2)

Activity		ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
5	*Assure proposal consistency with guidance*					AR			
6	Propose amendments and negotiate proposals with ADGs / Heads of Independent Offices		R			R	R	R	I
7	*Define agreed results, activities and resources*					AR			

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Biennial planning – Flowchart
Sub process C.3: Financial and funding planning

	INPUT	ACTIVITIES	OUTPUT
OSP		Collect all financial information to be evaluated → Check the overall consistency between expected results and financial estimates → Consolidate feedbacks and reviews → Financial review positive? — YES →	Approved PWB proposals
		NO → Propose amendments to planning units	
TC		Evaluate funding estimates related to EB projects	
AFF		Define standard costs and estimate support cost recovery level / Perform cost analysis / Assess financial impacts and provide all other financial information	
DDGs	Agreed results, activities and resources	YES / Financial review positive? — NO	
ADGs / HEADS OF IND OFFICES *		Verify / amend financial information	
ALL PLANNING UNITS **		Provide financial information (e.g. staff costs)	

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(**)   All planning units included in the Knowledge and Operations Areas and

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Biennial planning – RACI Matrix
Sub process C.3: Financial and funding planning (1/2)

Activity	ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
1 Define standard costs and estimate support cost recovery level (PSC)			I	AR	I	I		I
2 Estimate costs and provide more information, concerning agreed projects and activities and related resources: ▶ Staff costs and other human resource costs ▶ Non staff costs and purchase estimates and timing ▶ Back-charges ▶ Overhead (PSC) ▶ Funding sources		I						R
3 Verify financial proposals and define the final proposal			AR					I
4 Review financial information and approve proposals	AR		I					I
5 Collect all financial information to be evaluated		I		I	R	I		I
6 Evaluate funding estimates related to EB projects				I	I	R		
7 Perform cost analysis				R	I			
8 Integrate proposals with other, relevant financial information: ▶ FOREX hedging ▶ Passive interest costs ▶ Inflation and cost increase ▶ Other liabilities				AR	I			

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Biennial planning – RACI Matrix
Sub process C.3: Financial and funding planning (2/2)

	Activity	ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
9	Check the overall consistency between expected results and financial estimates				I	R			
10	Consolidate feedbacks and reviews from other planning support functions				C	R	C		
11	Verify the needs for amendments to proposal and make relevant suggestions to ADGs / Heads of Independent Offices			I	I	R	I		
12	Consolidate all financial information					AR			

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Biennial planning – Flowchart
Sub process C.4: PWB approval

INPUT	ACTIVITIES	OUTPUT

GOVERNING BODIES

PWB final proposal discussion and validation → Approved PWB

ODG

Review and validate the PWB final proposal → Final review positive? → YES

NO

DDGs

Review the PWB proposal

OSP

Approved PWB proposals

D.1 AWP formulation and validation

AFF

Post-management process | Organizational design process | HR planning process
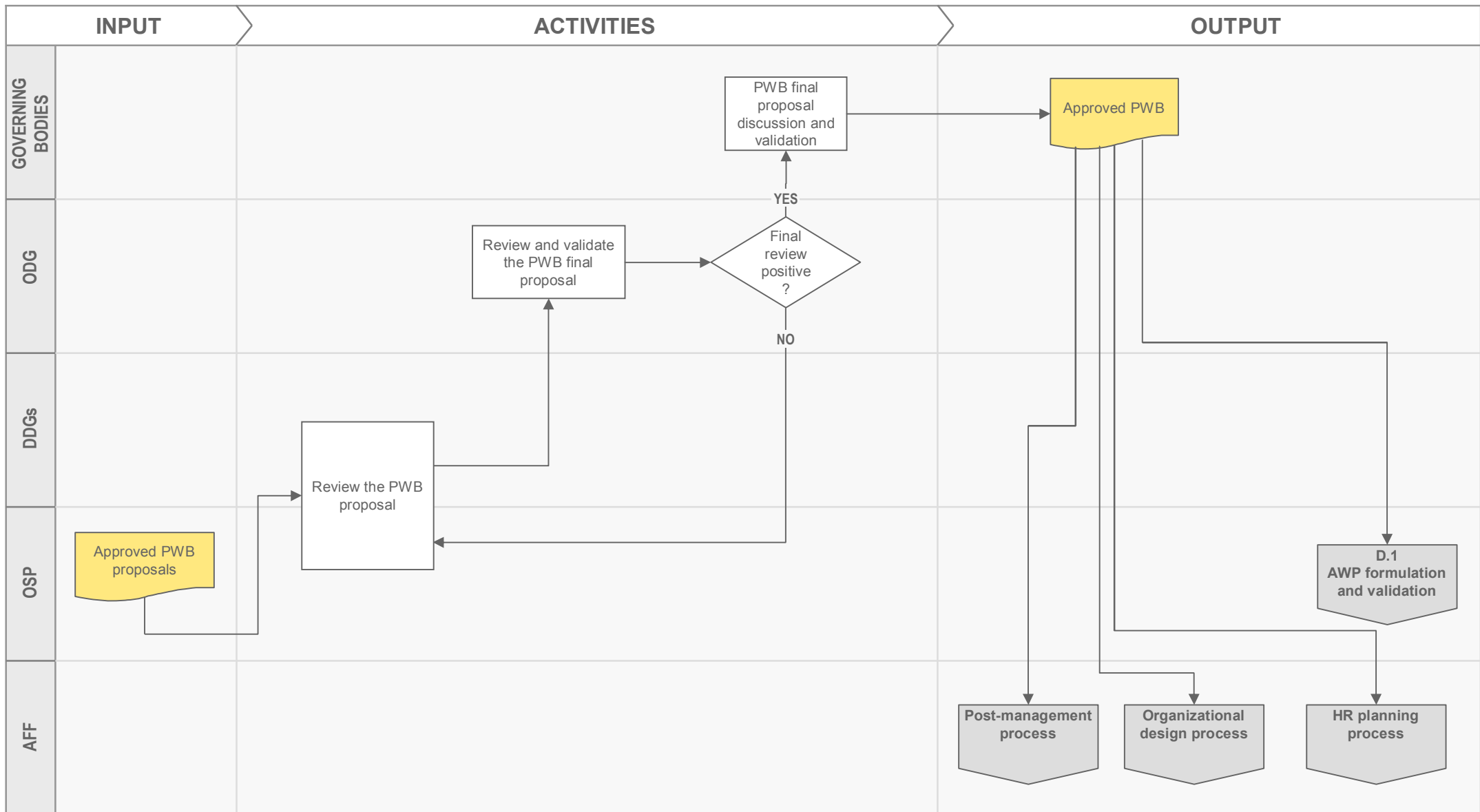
Biennial planning – RACI Matrix
Sub process C.4: PWB approval

Activity		GOVERNING BODIES	ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
1	Review the PWB proposal		I	AR			R			
2	Review and approve the final PWB proposal		AR	I			I			
3	Discuss and approve the final PWB proposal	AR	I							

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Agenda

► **Biennial planning**

► **Annual work-planning**

► **Monitoring & reporting**

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Annual work-planning
Introductory representation of sub-processes

| A. Strategic planning | B. Medium term planning (MTP) | C. Biennial planning (PW B) | D. Annual work planning (AWP) | E. Monitoring & reporting |

D. Annual work planning

D.1 AWP formulation and validation

INPUT	OUTPUT	INVOLVED FUNCTIONS	MAIN ROLES & RESPONSIBILITIES
• Approved PWB • Pipeline monitoring process • Project implement. process	• Validated AWP • RP institutional allotments • RP working allotments • Updated datasheets	ODG	RP institutional allotments approval
		DDGs	Validate AWP proposals
		ADGs / Heads of Independent Offices	Intra dept/region/ind. office proposals and results negotiation
		OSP	Process coordination, planning guidance (results), proposals review, quality assurance, RP institutional allotments issuing
		TC	Planning guidance (EB projects) and proposals review
		AFF	Financial guidance (financial impacts), RP working allotments issuing
		AFH	Planning guidance (HR) and proposals review
		All planning units	Proposals formulation

Annual work-planning – Flowchart
Sub process D.1: AWP formulation and validation (1/2)

	INPUT	ACTIVITIES

ODG
- Approved PWB
- Validate and approve annual RP institutional allotments
- Annual RP institutional allotments

OSP
- Define and issue annual RP institutional allotments (SO/ADG level)
- Provide guidance on result breakdown (from PWB to AWP) and AWP formulation

TC
- Pipeline monitoring process – *out of scope*
- Provide guidance for EB project planning

AFF
- Project implementation process – *out of scope*
- Monitor ongoing financial results against budget and evaluate possible needs for adjustments

AFH
- Provide HR guidance (ratios targets)

DDGs
- Validate AWP proposals

ADGs / HEADS OF IND OFFICES *
- Lead intra-dept, intra-region and intra-ind. office negotiations
- Finalize and consolidate proposals

ALL PLANNING UNITS **
- Define AWP proposal resulting from PWB

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Annual work-planning – Flowchart
Sub process D.1: AWP formulation and validation (2/2)

ACTIVITIES | OUTPUT

ODG
- Validated AWP

OSP
- Collect AWP proposals
- Verify consistency between targets and annual results

TC
- Monitor operational planning of EB projects and pipeline
- Proposals review positive ? — YES / NO
- E.1 RP Internal monitoring and reporting

AFF
- Check coherence of AWP proposals to annual RP institutional allotment and EB donor agreements
- Issue annual RP working allotments
- E.2 EB internal monitoring and reporting
- E.3 EB project monitoring and internal reporting

AFH
- Organizational design process
- Post-management process

DDGs
- Validate and approve amended AWP proposals

ADGs/ HEADS OF IND OFFICES *
- Review feedback and coordinate with Planning Units
- Procurement Planning

ALL PLANNING UNITS **
- Review feedback and incorporate amendments in coordination with ADGs, OSP, TC and AFF
- Annual RP working allotments
- Updated Datasheets

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Annual work-planning – RACI Matrix
Sub process D.1: AWP formulation and validation (1/2)

Activity	ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
1 On the basis of approved PWB, define and issue annual RP institutional allotments at SO/ADG level for each Dept. ADG or Head of Office	A	I	I	I	R	I	I	I
2 Provide guidance for extra budgetary project planning			I		I	R		I
3 Provide HR guidance, requesting additional details with respect to PWB			I		I		R	I
4 Prepare AWP guidance for planning units, provide also guidance for result breakdown from PWB to AWP (how to parcel Organizational results into Unit Results and the links with projects)	I	I	I	I	AR	I	I	I
5 Define AWP proposals, consistently with approved PWB and to guidance			I					R
6 Negotiate intra department, intra region and intra independent office negotiation, in order to come up with a consolidated proposal			AR					C
7 Validate AWP proposals and send them to planning support functions for review		AR	I	I	I	I		I

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Annual work-planning – RACI Matrix
Sub process D.1: AWP formulation and validation (2/2)

Activity		ODG	DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	ALL PLANNING UNITS **
8	Verify proposal consistency with guidance and organizational requirements and propose amendments			I	R	AR	R	I	I
9	Negotiate amendments to proposals with planning support functions		A	R	C	C	C		R
10	Issue annual RP working allotments	I	I	I	AR	I	I	I	I

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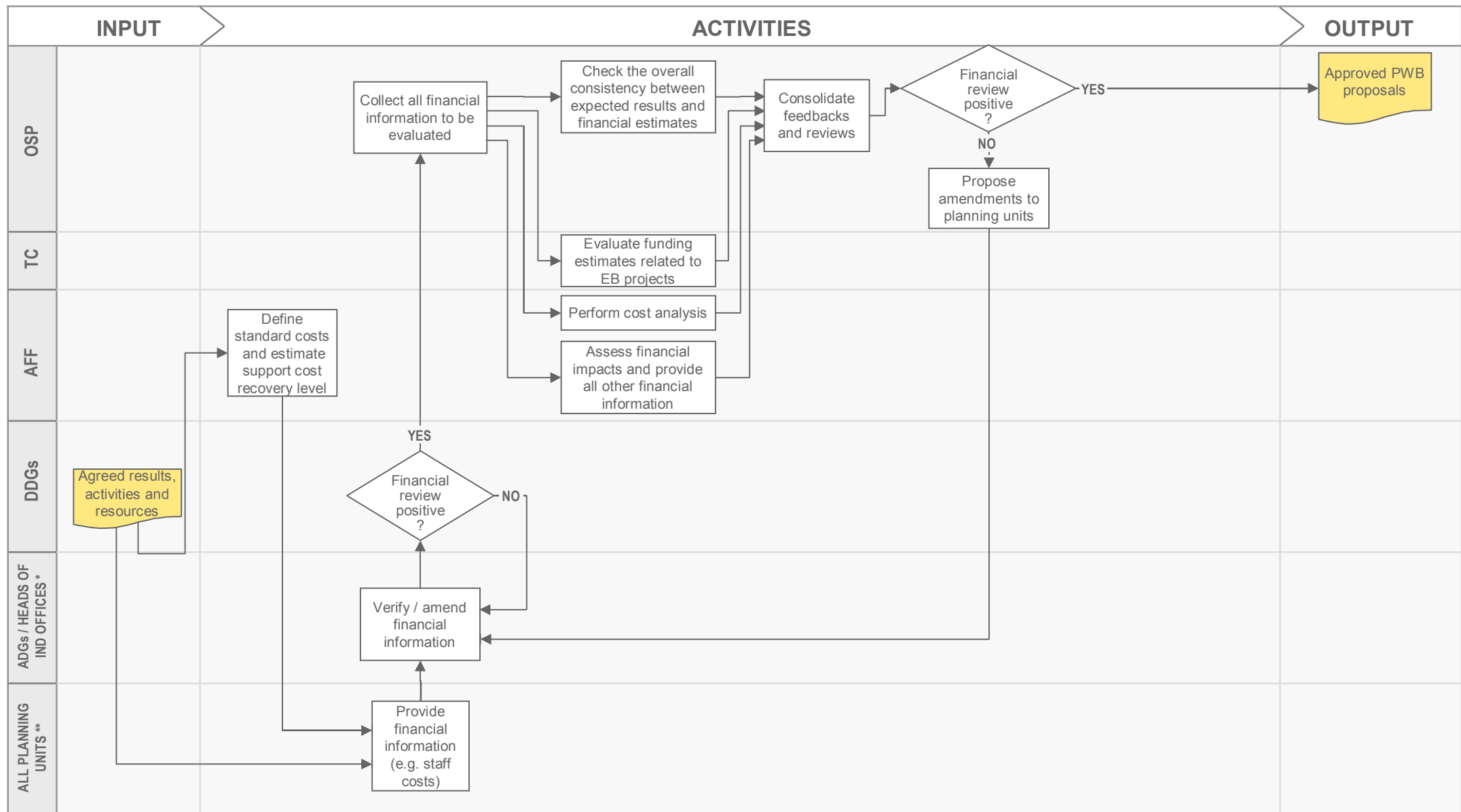
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(**)   All planning units included in the Knowledge and Operations Areas and in

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Agenda

▶ **Biennial planning**

▶ **Annual work-planning**

▶ **Monitoring & reporting**

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Monitoring & reporting
Introduction

► The process "E. Monitoring & reporting" has been divided into three main sub-processes, two of them related to internal monitoring, whilst the third one concerns the external reporting

► In designing the monitoring process the differences between RP and EB have been fully taken into account, as well as the differences between RP institutional allotments and RP working allotments. This way of representing processes achieved the key result of stating the new allocation of responsibilities over the support units

► In particular, concerning internal monitoring:

  ► OSP will retain its leading role in monitoring and managing the overall allocation of resources, with a constant oversight over corporate results

  ► AFF will centralize all financial monitoring activities and will ensure the appropriate ongoing resource allocation, in order to guarantee the overall financial oversight

  ► TC will retain its current role in monitoring all the aspects related to the EB projects, from the pipeline to the operational planning and the delivery progress and outcomes

► Concerning external reporting, each supporting function (OSP, AFF, TC) collaborates in collecting relevant data and providing proper information

► With regards to RP allotments, each variance will be evaluated by AFF and OSP in order to identify possible needs for action:

  ► If the variance can be managed at working allotment level (within Strategic Objective / ADG level), then AFF proposes amendments directly to the budget holder, that has to take the necessary actions

  ► If the variance needs to be managed at institutional allotment level (above Strategic Objective / ADG level), OSP coordinates the amendment process, engaging AFF and all the relevant ADGs

Monitoring & reporting
Introductory representation of sub-processes

A. Strategic planning	B. Medium term planning (MTP)	C. Biennial planning (PW B)	D. Annual work planning (AWP)	E. Monitoring & reporting

E. Monitoring and reporting

E.1 RP internal monitoring and reporting	E.2 EB internal monitoring and reporting	E.3 Forecasting and external reporting

INPUT	OUTPUT	INVOLVED FUNCTIONS	MAIN ROLES & RESPONSIBILITIES
▶ RP institutional / working allotments ▶ Pipeline monitoring process ▶ Project implement. process	▶ Updated RP institutional / working allotments ▶ Updated datasheets ▶ Periodic reports to Donors ▶ Annual and biennial reports	Governing bodies	Approve institutional allotments variances (if required)
		ODG / DDGs	Analyze management reports, approve institutional allotments variances, review and validate annual and biennial reports
		ADGs / Heads of Independent Offices	Analyze management reports, negotiate amendments to RP institutional allotments, define amendments to EB projects in collaboration with BHs (if required), review BH narratives for external reports
		OSP	Monitor achievements of results, prepare internal management reports and external annual and biennial reports, identify needs for action concerning results and intervene in proposing solutions
		TC	Monitor EB projects (all financial and operational aspects) and pipeline development, prepare internal management reports, analyze variances on EB projects delivery
		AFF	Monitor financial results, prepare internal management reports and external reports for Donors, identify needs for action concerning financial results and potential financial issues at corporate level and intervene in proposing solutions
		Budget Holders	Monitor their-own projects, analyze management reports issued by OSP, TC and AFF, amend RP working allotments and project budgets if needed, update project datasheets, provide relevant information and write narratives for external reports

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Monitoring & reporting
Sub process E.1: RP internal monitoring and reporting

E. Monitoring and reporting

E.1 **RP internal monitoring and reporting**

E.2 **EB internal monitoring and reporting**

E.3 **Forecasting and external reporting**

E.1 RP internal monitoring and reporting

E.1.1 **Update RP institutional allotments**

E.1.2 **Update RP working allotments**

Monitoring & reporting – Flowchart
Sub process E.1: RP internal monitoring and reporting

INPUT	ACTIVITIES

GOV BODIES

ODG / DDGs
- Annual RP institutional allotments
- Annual RP working allotments
- Analyze Management reports

OSP
- Monitor achievements of overall results against resources planned
- Prepare reports to be analyzed and sent to relevant recipients
- Identify possible needs for action concerning results and resources allocation
- E.1.1 Update institutional allotments
- Variances can be managed at working allotments level (within SO/ADG envelope)? — NO → E.1.1 Update institutional allotments — YES → E.1.2 Update working allotments

AFF
- Monitor ongoing financial results against budget
- Identify possible needs for action concerning financial results and potential issues
- E.1.2 Update working allotments

ADGs / HEADS OF IND OFFICES *
- Analyze Management reports

BUDGET HOLDERS
- Project implementation process – out of scope
- Analyze Management reports

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(*)   Including the Programme Coordination Units when relevant

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Monitoring & reporting – RACI Matrix
Sub process E.1: RP internal monitoring and reporting

Activity		ODG / DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	BUDGET HOLDERS
1	Monitor achievement of overall results against resources planned			I	AR			
2	Monitor ongoing financial results against budget			AR	I			
3	Prepare reports to be analyzed and sent to relevant recipients	I	I	R	R			I
4	Analyze management reports	R	R	R	R			R
5	Identify possible needs for action concerning results and resources allocation		I	I	AR			I
6	Identify possible needs for action concerning financial results and potential issues		I	AR	I			I
7	If variances require to be managed at institutional allotment level	→ Link to sub-process E.1.1						
8	If variances can be managed at working allotment level	→ Link to sub-process E.1.2						

R – responsible: the structure which performs the activity – the doer – there can be more than one
A – accountable: the structure that is held liable for consequences of the activity – there can be only one
C – consulted: the structure that must always be consulted <u>before</u> a decision or action is taken
I – informed: the structure that must always be informed <u>after</u> a decision or action has been taken

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Monitoring & reporting – Flowchart
Sub process E.1.1: Update RP institutional allotments

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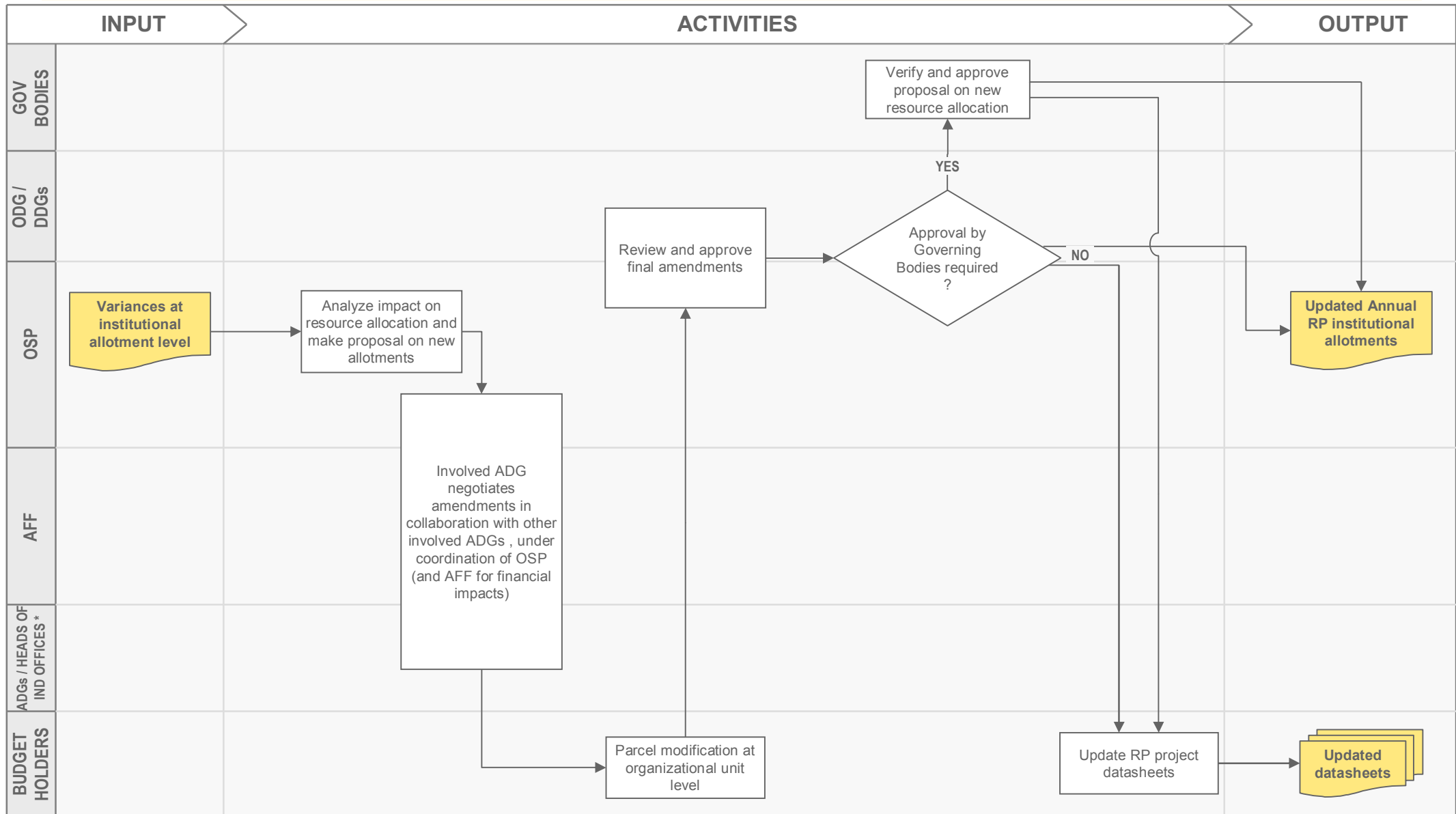
Monitoring & reporting – RACI Matrix
Sub process E.1.1: Update RP institutional allotments

	Activity	GOVERNING BODIES	ODG / DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	BUDGET HOLDERS
1	*Analyze impact on resource allocation and make proposal on new allotments*			I	I	R			
2	*Involved ADG negotiates amendments in collaboration with other involved ADGs , under coordination of OSP and AFF for financial impacts*			R	R	R			C
3	*Parcel modification at organizational unit level*			I	I	I			R
4	*Review and approve final amendments*		AR			R			
5	*Verify and approve proposal on new resource allocation (if required)*	AR							
6	*Update RP project datasheets*								AR

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Monitoring & reporting – Flowchart
Sub process E.1.2: Update RP working allotments

INPUT	ACTIVITIES	OUTPUT

GOV BODIES

ODG / DDGs

OSP

AFF

Variances at working allotment level

Propose amendments to relevant budget holders

Review and approve requests on allotment changes

Inform involved ADGs on changes in allotments

Updated Annual RP working allotments

ADGs / HEADS OF IND OFFICES *

BUDGET HOLDERS

Define working allotment shifts in collaboration with all involved units

Parcel modification at project level and update datasheets

Updated datasheets

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Monitoring & reporting – RACI Matrix
Sub process E.1.2: Monitor and update working allotments

Activity	GOVERNING BODIES	ODG / DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	BUDGET HOLDERS
1 Propose amendments to relevant budget holders				R				I
2 Define working allotment shifts in collaboration with all involved units			I	I				R
3 Review and approve request on allotment changes			I	AR				I
5 Parcel modification at project level and update datasheets			I	I				AR

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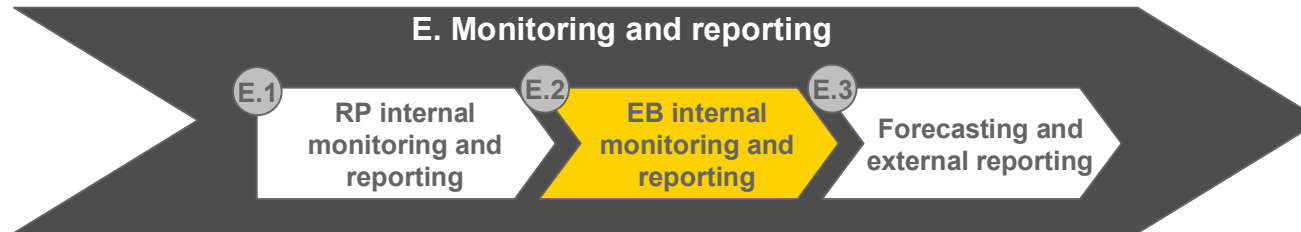
Monitoring & reporting
Sub process E.2: EB internal monitoring and reporting

Monitoring & reporting – Flowchart
Sub process E.2: EB internal monitoring and reporting

INPUT | ACTIVITIES | OUTPUT

ODG / DDGs
- End of process

HEADS OF ORGANIZATIONAL UNITS *
- Analyze Management reports
- Analyze Management reports
- Define solutions in collaboration with budget holder

OSP
- Monitor achievements of organizational results
- Prepare reports to be analyzed and sent to relevant recipients
- Identified variances can be solved with BH ?
- Identified variances require hierarchical escalation ?

AFF
- Monitor overall organizational financial results against budget
- Monitor support cost recovery level

TC
- Pipeline monitoring process – *out of scope*
- Monitor EB projects

BUDGET HOLDERS
- Project implementation process – *out of scope*
- Project monitoring process – *out of scope*
- Analyze Management reports and asses project results
- Take relevant decision to effectively manage variances in collaboration with OSP, AFF, TC
- Update datasheets if required
- **Updated datasheets**

Decision flow labels: NO, YES, NO, YES

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(*) **Senior officer, head of the relevant organizational unit, according to identified need of hierarchical escalation**

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Monitoring & reporting – RACI Matrix
Sub process E.2: EB internal monitoring and reporting

Activity	ODG / DDGs	HEADS OF ORGANIZATIONAL UNITS *	AFF	OSP	TC	BUDGET HOLDERS
1 Monitor achievements of organizational results			I	AR	I	
2 Monitor overall organizational financial results against budget and support cost recovery level, identifying possible major issues			AR	I	I	
3 Monitor EB projects in all financial and operational aspects			I	I	AR	
5 Prepare management reports to be analyzed and sent to relevant recipients			R	R	R	
7 Analyze management reports and assess project results	R	R	R	R	R	R
8 Identify variances and decide whether they can be solved with BH or they need escalation to the relevant head of organizational entity			AR	R	R	
9 Define solutions to cope with variances at the appropriate hierarchical level		R	I	I	I	R
10 Update datasheets if required		I	I	I	I	AR

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       according to identified need of hierarchical escalation

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Sub process E.3: Forecasting and external reporting
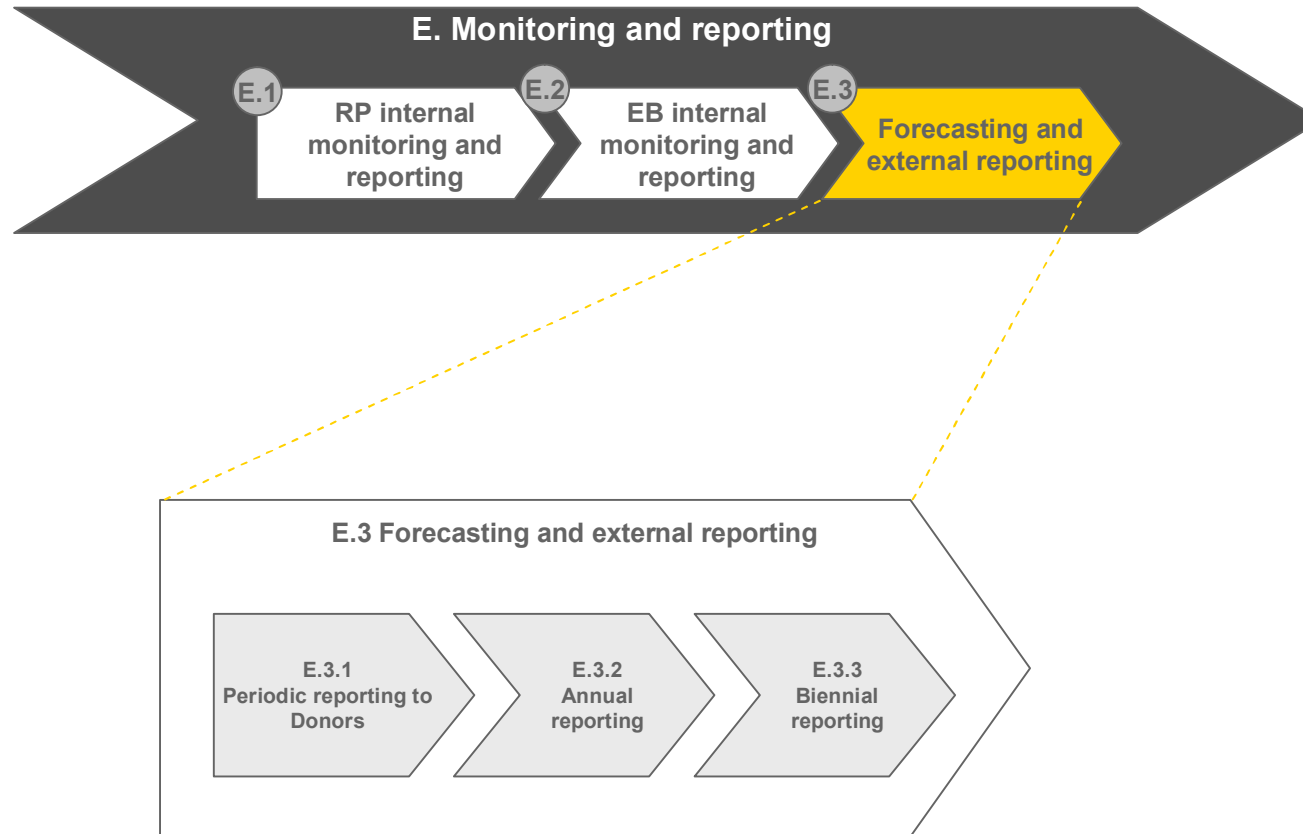
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Monitoring & reporting – Flowchart
Sub process E.3.1: Periodic reporting to Donors

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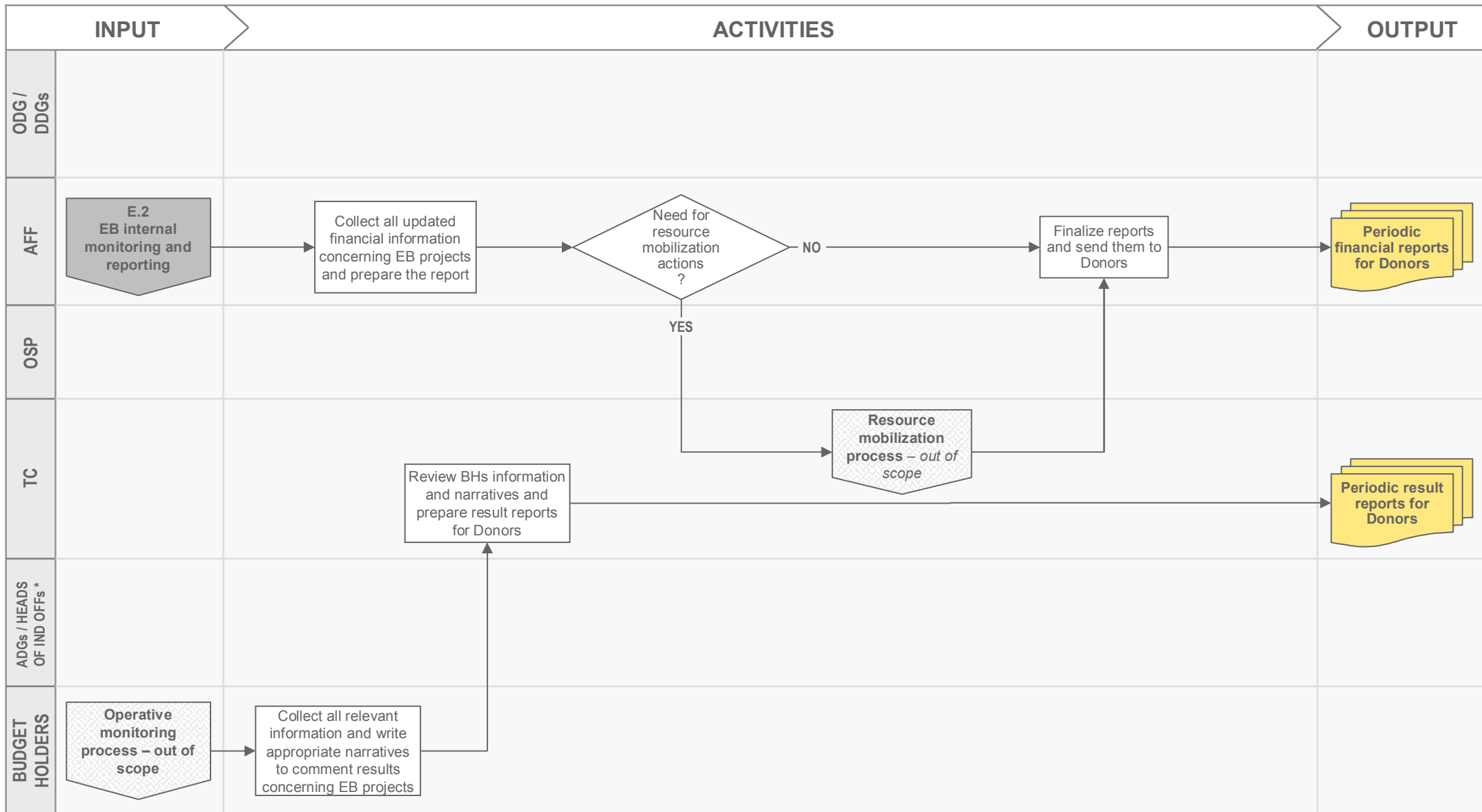
Monitoring & reporting – RACI Matrix
Sub process E.3.1: Periodic reporting to Donors

Activity		ODG / DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	BUDGET HOLDERS
1	Collect all updated financial information concerning EB projects and prepare financial reports for Donors			R		I		
2	Assess the need for resource mobilization actions			R		C		
3	Collect all relevant information and write appropriate narratives to comment results concerning EB projects					I		R
4	Review BHs information and narratives and prepare result reports for Donors			I		AR		C

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Monitoring & reporting – Flowchart
Sub process E.3.2: Annual reports

	INPUT	ACTIVITIES	OUTPUT
ODG / DDGs		Review and validate the report	**Annual report on overall results** (organization, delivery and financial)
AFF		Analyze all updated financial information	
OSP	E.1 RP internal monitoring and reporting / E.2 EB internal monitoring and reporting	Assess the achievements of organizational results / Collect all contributions and prepare the report	
TC	Pipeline monitoring process – out of scope	Analyze the development of the pipeline	
ADGs / HEADS OF IND OFFs *		Review information and narrative with coordinated BH	
BUDGET HOLDERS	Operative monitoring process – out of scope	Collect all relevant information and write appropriate narratives to comment results	

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Monitoring & reporting – RACI Matrix
Sub process E.3.2: Annual reports

Activity		ODG / DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	BUDGET HOLDERS
1	Collect and analyze all updated financial information			R				
2	Assess the achievement of organizational results			I	R	I		
3	Analyze the development of the pipeline				I	R		
4	Collect all relevant information and write appropriate narratives to comment results		I					R
5	Review information and narratives with coordinated BHs		AR		I			C
6	Collect all contributions and prepare the annual report on overall results	I		I	R	I		
7	Review and validate the final reports	AR	I	I	I	I	I	I

R – responsible: the structure which performs the activity – the doer – there can be more than one
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Monitoring & reporting – Flowchart
Sub process E.3.3: Biennial report

	INPUT	ACTIVITIES	OUTPUT

ODG / DDGs

Review and validate report → **Biennial report on overall results** (organization, delivery and financial)

AFF

Collect all updated financial information

OSP

E.1 RP internal monitoring and reporting

E.2 EB internal monitoring and reporting

Assess the achievement of organizational results

Collect all contributions and prepare the report

Review report and propose amendments

TC

Pipeline monitoring process – out of scope

Analyze the development of the pipeline

ADGs / HEADS OF IND OFFs*

Review information and narratives with coordinated BH

BUDGET HOLDERS

Operative monitoring process – out of scope

Collect all relevant information and write appropriate narratives to comment results

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Monitoring & reporting – RACI Matrix
Sub process E.3.3: Biennial report

Activity	ODG / DDGs	ADGs / HEADS OF IND OFFICES *	AFF	OSP	TC	AFH	BUDGET HOLDERS
1 Collect all updated financial information			R	I			
2 Assess the achievement of organizational results				R			
3 Analyze the development of the pipeline				I	R		
4 Collect all relevant information and write appropriate narratives to comment results		I					R
5 Review information and narratives with coordinated BHs		AR		I			C
6 Collect all contributions and prepare the biennial report			C	R	C		
7 Review the report and propose amendments			R	R	R		
8 Review and validate the final report	AR	I	I	I	I	I	I

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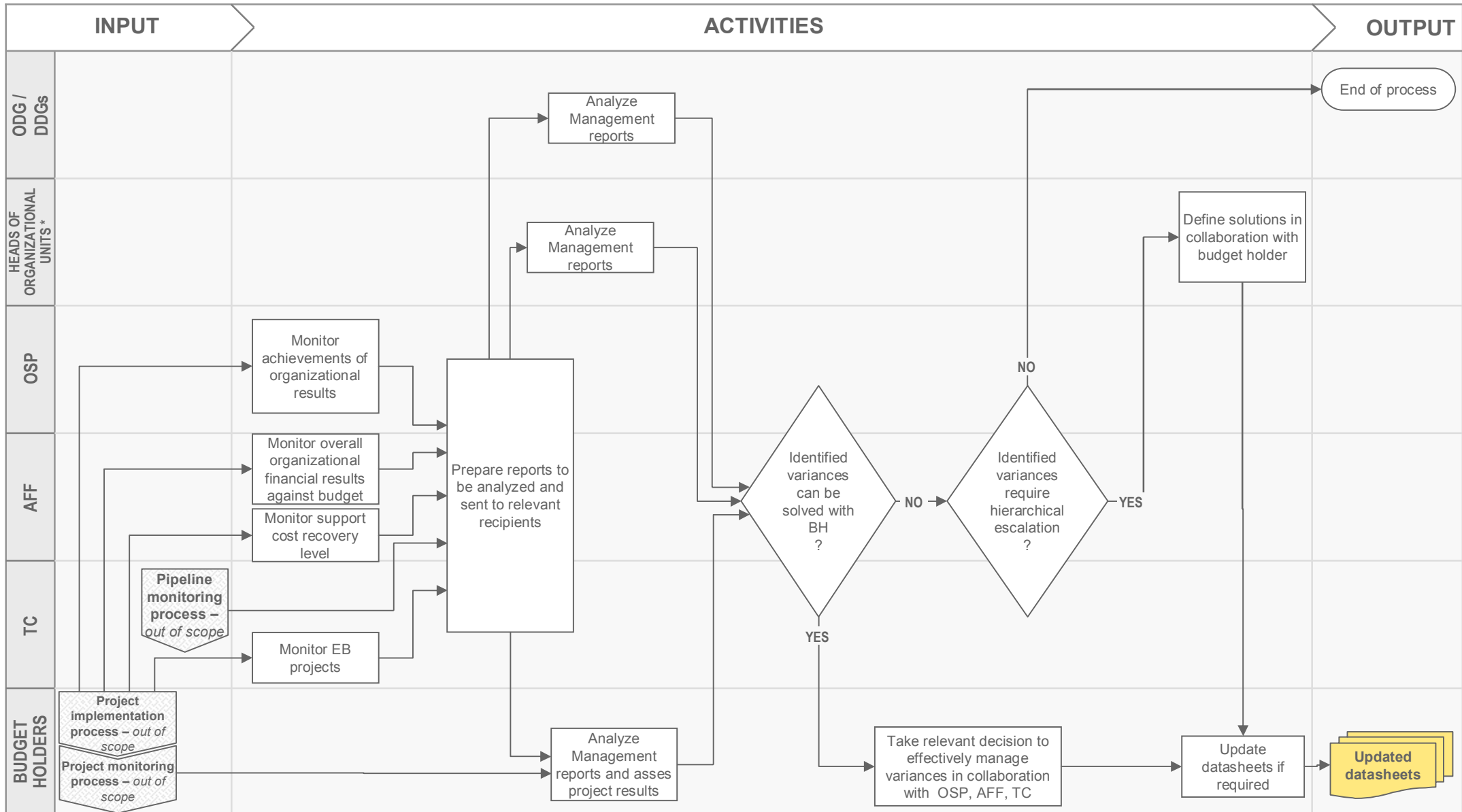
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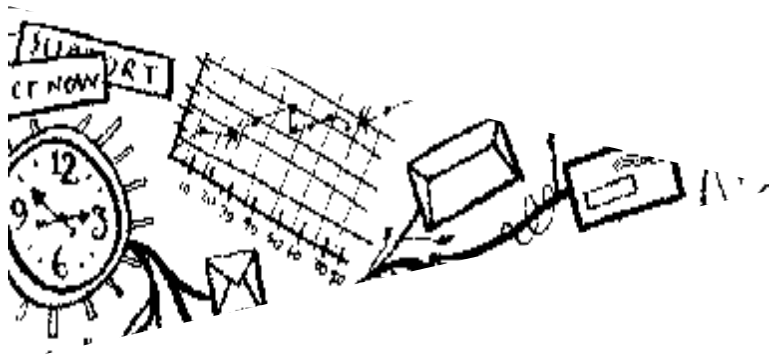
Work-stream Finance and Budget Management

Annex P: High level business reporting requirements and IT impacts

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► **High level reporting requirements**

► **IT impacts**

Agenda

▶ **High level reporting requirements**

▶ **IT impacts**

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Reporting requirements
Introduction

► In deploying the first expected initiative of the Budget Management / Finance work-stream ("Design the new Planning and Budgeting model"), the workgroup has also defined the high level business requirements for the standardized business reporting.

► Reporting requirements have been designed consistently with the new planning and budgeting model and in particular to the defined planning informative details.

► These requirement should be refined and finalized during the MIS-project, in which concrete reports will be designed and implemented

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Reporting requirements
Informative detail overview

Today
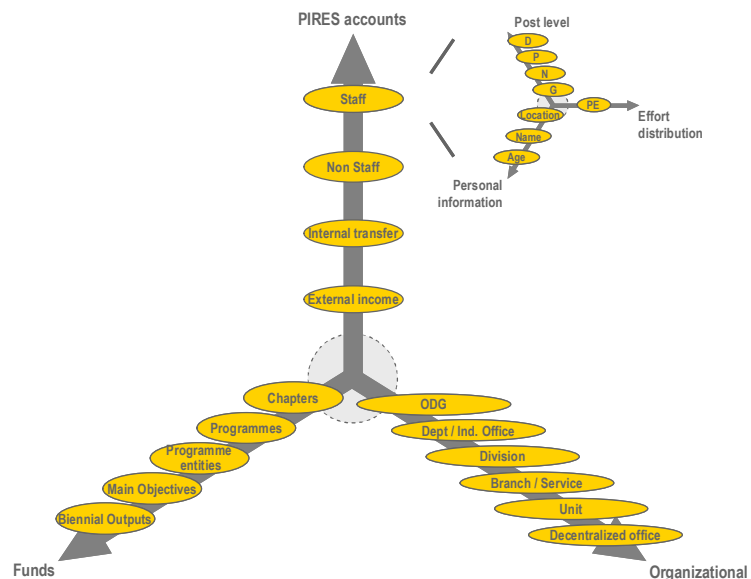
- ► **Staff planning detail level is much higher than other planning dimensions**

- ► **There is no link between post-planning and actually performed activities**

- ► **Some dimensions require too many details for a biennial horizon, whereas annual and infra-annual information are not provided**

To-be
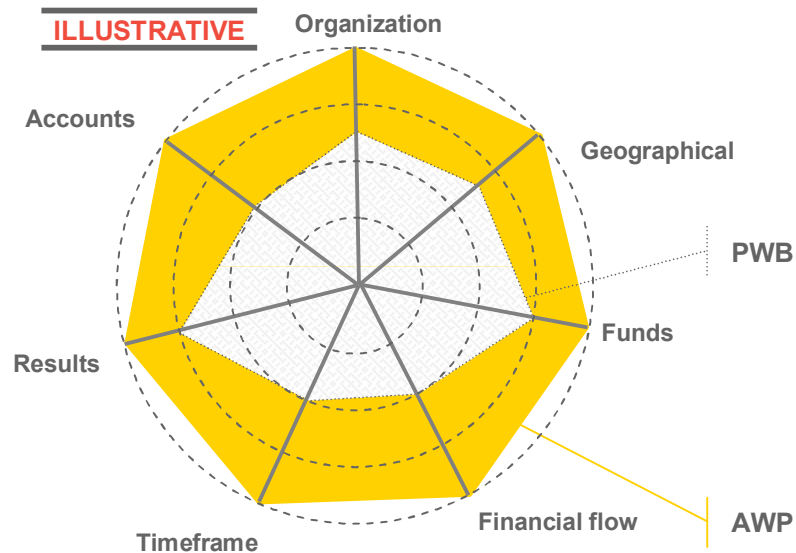
- ► **Informative detail requests are more balanced between biennial and annual horizons**

- ► **Changes in HR planning detail**

- ► **New (more detailed) planning dimensions:**
  - ► Results
  - ► Timeframe
  - ► Geographical
  - ► Financial flows

Reporting requirements
Recipients overview

Subject Oriented Dashboards and Scorecards	Static Reports	Guided Analysis	Ad Hoc Analysis

Conference

DDG / ODG

Donors

ADGs / Organizational Units / Budget Holder

OSP / AFF / TC
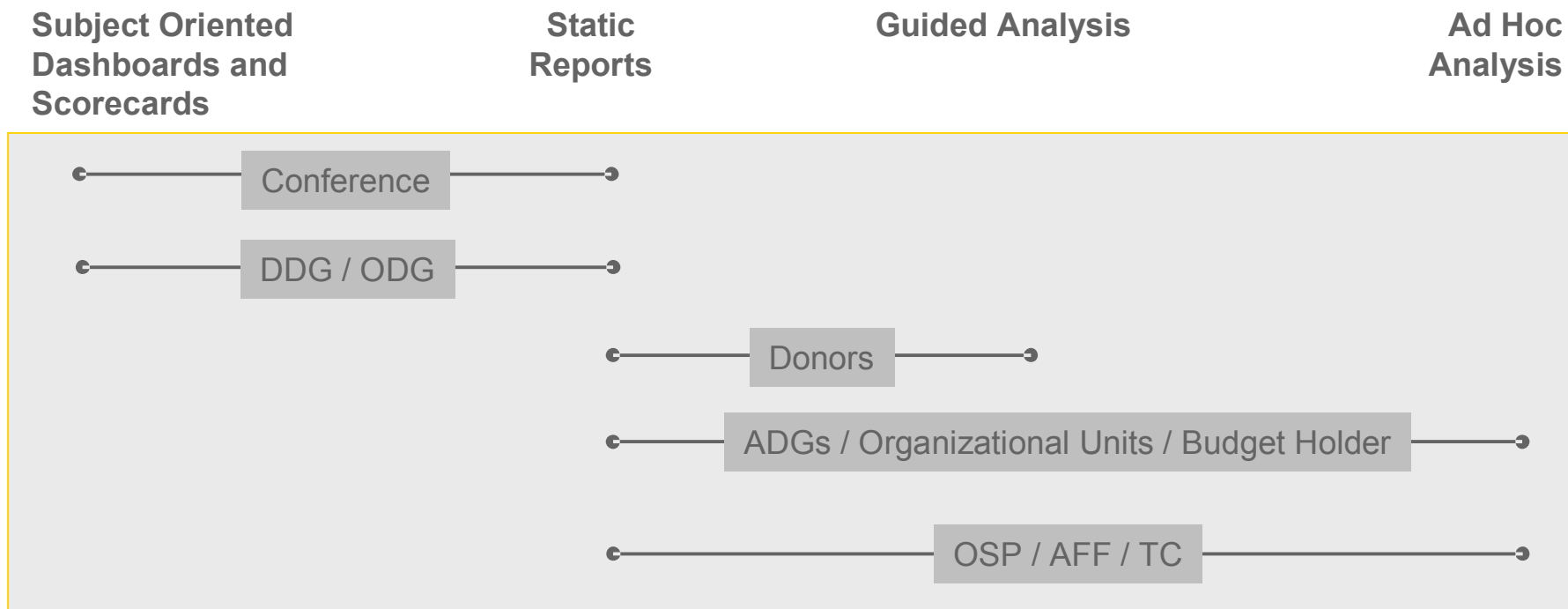
Key Attributes of reporting:

1. **Consistency** → A uniform, shared view of FAO across multiple functions

2. **Accuracy** → "One version of the truth".

3. **Relevance** → Targeted and correctly packaged information to address the right subject matter.

4. **Accessibility** → Right People have the Right Information at the Right Time in the Right Format

5. **Timely** → Minimal lag between business activity data capture and strategy assessment

Reporting requirements
Reports overview

Pyramid (bottom to top):

- **Donors** — standardized data
- **OSP / AFF / TC**, **ADGs / Org Units**, **Budget Holder** — interactive information
- **Conference ODG / DDGs** — customized knowledge

Requirements	Periodicity
► At-a-glance metrics on delivery and pipeline	► Monthly
► Summarized assessments and prospects on a multi-dimensional basis	► Yearly
► Drill-down on geographical distribution and results	► Quarterly
► Outlook	
► Interactive analysis to investigate and drill down on issues raised by reports	► On demand
► Ad-hoc analysis across full data set	► Monthly
► Alert pop-ups that repeat automatically	► Quarterly
	► Yearly
► As much as possible standardized and streamlined reports available via self-served or web-based delivery	► Quarterly
► Provides basic information with limited analysis and ad-hoc functionality on selected datasets	► Yearly
► Custom-specific reports in exceptional cases	

Reporting requirements
Informative details (1/3)

DIMENSION	SUB-DIMENSION	PLANNING DATA	CURRENT PWB	TO BE PWB	TO BE AWP	NOTES
Accounts						
	Staff					
		Personal information	✓	✗	✗	Drastically reduce data concerning posts toward shorter indicators
		Post level	✓	✗	✗	
		Effort on Programme entities	✓	✗	✗	
		Total FTE per level	✗	**NEW**	**NEW**	
	Non staff					
		Total non staff cost	✗	✓	✗	
		Other human resources (consultants, contracts)	✓	✗	✓	
		Detail on other human resources (TBD)	✗	✗	**NEW**	
		General expenses	✓	✗	✓	Increase level of detail for some expenses such as equipment in the AWP
		Detail on general expenses (TBD)	✗	✗	**NEW**	
		Non-expendable equipment	✓	✗	✓	
		Details on equipment (TBD)	✗	✗	**NEW**	
		Chargeback	✓	✗	✓	
		Travel	✓	✗	✓	
	Internal transfer					
		Detail on internal transfer (as current)	✓	✓	✓	
	External income					
		Detail on external income (as current,)	✓	✓	✓	
Results						
	Results chain					
		Strategic objectives	✗	**NEW**	✗	Adopt result-based management approach
		Organizational results	✗	**NEW**	✗	
		Unit results	✗	**NEW**	**NEW**	

Reporting requirements
Informative details (2/3)

DIMENSION	SUB-DIMENSION	PLANNING DATA	CURRENT	TO BE		NOTES
			PWB	PWB	AWP	
Organization						
	Organizational levels					
		Resource per each organizational unit	✓	✓	✓	
Geographical						
	Geographic location					
		Resources per each field office	✗	**NEW**	**NEW**	New geographic allocation of results and resources
Funds						
	General funds					
		Chapter	✓	✓	✓	
		Programme	✓	✗	✗	
		Programme entity	✓	✗	✗	Coherently with Result Based Management
		Organizational Result	✗	**NEW**	**NEW**	
		Unit results	✗	**NEW**	**NEW**	
	Trust funds					
		Overall funding target	✓	✗	✗	Moving ahead from an undetermined planning of EB resources towards more detailed planning such as RP in PWB and AWP
		Specific funding targets for each objective (2-yearly and annual)	✗	**NEW**	**NEW**	

Reporting requirements
Informative details (3/3)

DIMENSION	SUB-DIMENSION	PLANNING DATA	CURRENT	TO BE		NOTES
			PWB	PWB	AWP	
Timeframe						
	Planning horizon					
		Biennial	✓	✓	✘	Formulation of a new detailed yearly plan
		Annual	✘	✘	**NEW**	
		Monthly	✘	✘	**NEW**	
Financial flow						
	Current					
		Cash in	✘	✘	**NEW**	Where feasible and applicable for EB activities
		Cash out	✘	✘	**NEW**	
	Non current					
		Fund flows	✘	✘	**NEW**	Where feasible and applicable for EB activities
		Investments	✘	✘	**NEW**	
		Equipment	✘	✘	**NEW**	
		Inventory	✘	✘	**NEW**	
		Other	✘	✘	**NEW**	

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► **High level reporting requirements**

► **IT impacts**

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IT impacts
Overview

The proposed planning model tries to overcome current major issue: the present planning model is no more in line with FAO business model and environment.

The full deployment of the new planning and budgeting model will require some actions on IT-systems, in order to

► maximize the value added of the logical framework

► ensure the right efficiency level of the new processes designed

In the following slides, our suggestions on IT systems have been classified by objectives, looking also at two main categories: requirements directly related to the new planning and budgeting model deployment and other suggestions based on the AS IS analysis.

All these activities should be coordinated and managed in an comprehensive perspective, to enable users (and, consequently, FAO) to fully achieve the great and tangible benefits that the new model could create.

Finally, the concrete implementation of the new model requires also an effective Project Management approach and specific training & change management actions.

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Objectives	New Model requirements	Other IT improvements
Track relevant information	**1. Implement a project management tool that is able** ▶ to fully support planning activities for both projects and indirect activities as described on the new planning and budgeting conceptual model ▶ to be integrated on the "results-based" organizational frameworks, in order to be the single-data entry point for users (budget holders, etc..) and the real "building block" for the planning and budgeting activities from the corporate point of view ▶ to be fully integrated with the other FAO IT systems, in order to ensure the right data flows between the different organizational unit interested (AFF, TCOM, etc…) **2. Improve the IT support to cost accounting at project / activities level, in order to track information currently non available: local commitments and human resources effort. As regard the latter, it needs to be implemented a timesheet, that will enable FAO to have a real human resources cost tracking, so a real cost accounting for both project and organizational levels** **3. Analyze and integrate the information details currently tracked on the IT-systems, in order to better support planning and monitoring activities related to** ▶ Results (Unit results, Project outcomes, etc..) ▶ Financial amounts (management chart of accounts, etc…) ▶ Operational activities (KPI on delivery progress, etc…).	Achieve a real integration between the different applications and track the complete information flow without losing relevant data (i.e. local commitments).

IT impacts
Requirements (2/2)

Objectives	New Model requirements	Other IT improvements
Enhance the monitoring and reporting activities	Realize a real corporate reporting framework using a single front-end that is ▶ able to support both standardized internal / external reporting and ad-hoc queries and reporting, minimizing the manual stand alone elaboration ▶ Fully integrated with all the feeder systems.	Reduce the manual effort on donors' agreements monitoring, implementing an application for grants financial managements (obviously, this application should be fully integrated with accounting and project management systems)
Rationalize the IT systems involved	In both cases (with or without the new planning model), to move to a real integration, FAO should also think to rationalize the number of different applications involved in the processes, going as much as possible to a single - fully integrated IT platform, also replacing some of the current systems (i.e. FAS, Travel, EBMM), obviously ensuring that is supported also from the IT network infrastructure. Partially, these activities are already in progress (FAS replacement already planned inside the IPSAS project).	

Work-stream Human Resources

Annex Q: To-be HR processes

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▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR selected processes - definition

Process	Definition
A. HR Strategy	HR Strategy refers to the development of strategic objectives for HR, based on current and emerging trends, internal to the organization and external trends. HR strategy should support the Strategic Framework defined at the organizational level, while proactively striving to introduce improved methods of managing human resources.
B. HR Policy	HR Policy refers to the formulation and implementation of HR policies that formalize FAO HR strategies and introduce guidelines. The process aims at creating principle-based policies able to reflect the guidelines of the organization and at ensuring that procedures are helpful and user friendly.
C. HR Learning	HR Learning aims at ensuring that the competencies and skills of FAO's Human Resources are developed to a level and in areas that support the Organization's strategic objectives. In doing so, the process aims at supporting career development and continuous learning throughout the Organization.
D. HR Performance Management	HR Performance Management aims at ensuring the achievement of FAO's strategic goals and at improving accountability and performance. HR Performance Management promotes competency development and learning by measuring the achievement of individual developmental objectives.
E. HR Recruitment	HR Recruitment aims at identifying the right candidate for a vacant position and at ensuring that the candidate has the appropriate experiences, knowledge and skills in order to perform the work efficiently, contributing to the development of FAO

HR selected processes - definition

Process	Definition
F. HR Planning	HR Planning aims at identifying requirements for enabling a long term planning and a succession planning of resources according to the organizational structure and overall corporate needs and strategy. As a result, HR Planning prevents critical situations on HR matters.
G. HR Staffing	HR Staffing process manages all staff movements and optimizes the internal human resource allocation by matching staff members (supply) to appropriate positions (demand).
H. HR Communication	HR communication aims at facilitating and disseminating communications on HR matters across the Organization as well as to external stakeholders by defining contents, targets, key messages, channels and tools.
I. HR Career Development	HR Career Development aims at defining the model which guides the professional growth through experiences and competency development, aligning the individual professional development with the Organization's strategic objectives.
J. HR Job Design	HR Job Design aims at providing a comprehensive framework for organizational requirements by constantly updating the Integrated Competency Framework and aligning job profiles to organizational needs and changes.

HR Process Map identifies the linkages between processes

HR PROCESS MODEL

HR STRATEGY

HR PLANNING

HR POLICY

HR LEARNING

HR JOB DESIGN

Ideal profile and requisites

Based on the Competency framework

Ideal profiles

HR STAFFING & RECRUITMENT

Resources Placed

HR PERFORMANCE MGMT

Performance results

Rewarding System based on individual performances

Performance results

Resources moved to a new position

HR CAREER DEVELOPMENT

System of mobility Career Succession Compensation

HR COMMUNICATION

Approach taken by process, depending on current status of each process

HR PROCESS			
E. HR Recruitment **C. HR Learning**	**B. HR Policy** **D. HR Performance Mgmt**	**J. HR Job Design** **G. HR Staffing**	**A. HR Strategy** **H. HR Communication** **F. HR Planning** **I. HR Career Dev.**

STATUS			
Existing, to be improved	**Under development, to be formalized**	**Partially existing, to be further developed**	**New, to be designed**

ACTIVITY

• Desk analysis • Design the AS IS process and evaluation with responsible AFH branch • Collection of customers' feedback • Identification of improvement areas • Gap analysis • Definition of TO BE model	• Definition of standard process • Review of standard process and evaluation with responsible AFH branch • Collection of customers' feedback • Identification of improvement areas • Finalization of TO BE model	• Desk analysis of partially existent process • Define scope of process with responsible AFH branch • Definition of standard process • Review of standard process and evaluation with responsible AFH branch • Sharing with customers the objective and the framework • Explanation to customers of main changes coming from process development • Identification of expected benefits coming from implementation • Finalization of TO BE model	• Definition of process design approach • Design standard process and evaluation with responsible AFH branch • Sharing with customers the objective and the framework • Explanation to customers of main impacts coming from process implementation • Identification of expected benefits coming from implementation • Finalization of TO BE model

Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Strategy
Process overview

HR Strategy refers to the development of strategic objectives for HR, based on current and emerging trends, internal to the organization and external trends. HR strategy should support the Strategic Framework defined at the organizational level, while proactively striving to introduce improved methods of managing human resources.

HR Strategy sub-processes:

HR.A.1
Development of HR strategy and related objectives

HR.A.2
HR Strategic planning

HR.A.3
HR Strategy monitoring and evaluation

HR Strategy – Sub-process A.1
Development of HR strategy and related objectives

| INPUT | ACTIVITIES | OUTPUT |

Governing Bodies: Corporate Strategy

ODG: Corporate Strategy

PBE: Strategic framework

AFHD: Define HR strategic objectives and provide inputs to develop the strategy → HR Strategy approved? (no / yes) → HR Strategy cleared? (no / yes) → Finalize HR Strategy → HR Strategy Framework

AFHP: HR.A.3 → Analysis of HR implication → Development of HR Strategy → Need to integrate? (yes / no)

External SMM/ Depts. /Ind. Entities Offices: Suggestions on HR objectives → Consultations and provide feedback

External Entities: ICSC standards

Output: HR Communication, HR Strategy Framework, HR.A.2

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HR Strategy – Sub-process A.2
HR Strategic Planning

	INPUT	ACTIVITIES	OUTPUT

SMM / ODG

Draft HR Strategic Plan approved by ODG?
- no
- yes

AFHD

Draft HR Strategic Plan approved?
- no
- yes

Finalize HR Strategic Plan → HR Strategic Plan → HR.A.3

AFHP

HR.A.1 → HR vision and objectives

Definition of an Action Plan for HR vision and objectives implementation

Definition of internal and external Key performance indicator (KPI) in agreement with AFH Director

Elaboration of draft HR Strategic Plan

Need to review?
- no
- yes

Depts. / Indep. Off.

Agreement on external Key performance indicator (KPI)

Consultations and provide feedback

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HR Strategy – Sub-process A.3
HR strategy monitoring and evaluation

	INPUT	ACTIVITIES	OUTPUT

Gov. Bodies /ODG
- Receive Evaluation report → Feedback

AFHD
- Approve report? — no / yes
- Final Evaluation report → HR Communication

AFHP
- HR.A.2 → HR Strategic Plan → Implementation of actions envisaged in the Plan → Internal Key performance indicator monitoring and analysis / External Key performance indicator monitoring and analysis → Draft Evaluation report → Approve report?
- Need to review the Strategic plan? — yes → HR.A.2 / no → End of process

Depts. / Indep. Off.
- Implementation of actions envisaged in the Plan → Provide explanations on results (when required)
- Need to review? — yes → Feedback on the Draft report / no

Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Policy
Process overview

HR Policy refers to the formulation and implementation of HR policies that formalize FAO HR strategies and introduce guidelines. The process aims at creating principle-based policies able to reflect the guidelines of the organization and at ensuring that procedures are helpful and user friendly.

HR Policy sub-processes:

HR.B.1
Policy
Design

HR.B.2
Policy
Application

HR.B.3
Policy
Monitoring

HR Policy – Sub-process B.1
Policy design (1/2)

INPUT	ACTIVITIES	OUTPUT

AFHP *
- ICSC Standards
- UN Common System
- FAO Adm. Manual

Need for new / updated Policy

Policy requirements discussed and shared with AFH Dir. → Define new / updated policy → Next slide

AFHE-AFHT-AFHR-AFHS-AFHL

HR Strategy

HR.B.2
HR.B.3

Internal consultation

AFHD

Approved? — no → Provide comments and suggestions on proposed policy

yes

AFD

Receive for consultation and provide comments on proposed policy

Programme coordinators- WFP-LEG-OCD-PBE

Need for new / updated Policy

Receive for consultation and provide comments on proposed policy

SSC/ Person. Off.

Need for new / updated Policy

Receive for consultation and provide comments on proposed policy

Staff Rep. Bodies

Need for new / updated Policy

* *In some cases, AFHS has an active role in formulating personnel policies. The branch is at the forefront of policy formulation mechanisms for Pensions, Service-Incurred Compensations and Staff Insurances*

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HR Policy – Sub-process B.1
Policy design (2/2)

INPUT	ACTIVITIES	OUTPUT

AFHP *

Previous slide → Consolidation and update policy version

Finalize HR policy and procedures → Update Manual → New / Updated Policy and Procedures → Intranet

New / Updated Policy and Procedures → HR Communication

AFHD

Policy approved? — no — yes

Endorse HR policy and procedures

AFD

Receive new policy for information

Staff Representative Bodies

Receive policy for consultation and provide comments

ODG - DG

Receive new policy for information

* *In some cases, AFHS has an active role in formulating personnel policies. The branch is at the forefront of policy formulation mechanisms for Pensions, Service-Incurred Compensations and Staff Insurances.*

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HR Policy – Sub-process B.2
Policy application

HR Policy – Sub-process B.3
Policy monitoring
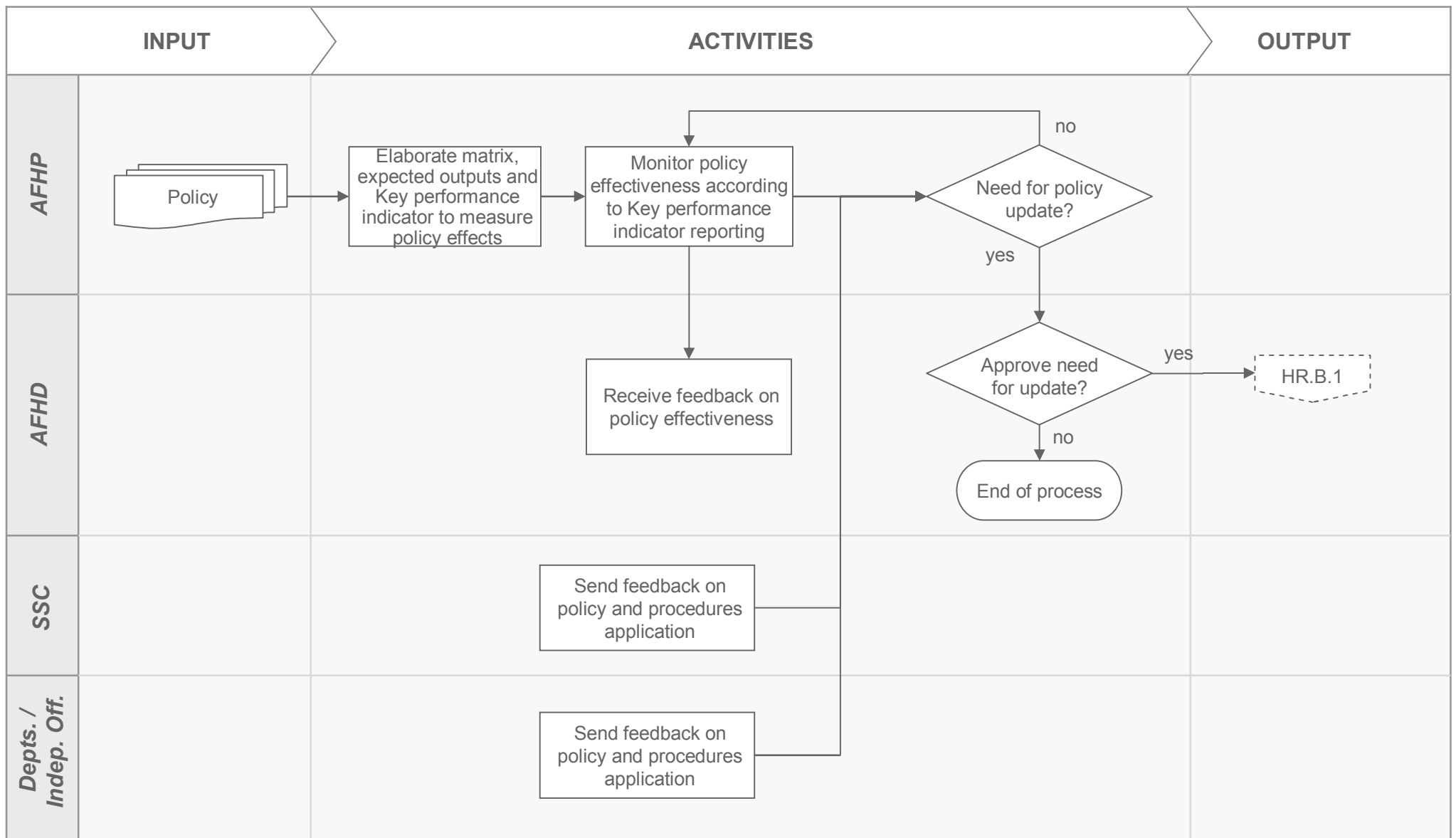
INPUT	ACTIVITIES	OUTPUT

AFHP

Policy → Elaborate matrix, expected outputs and Key performance indicator to measure policy effects → Monitor policy effectiveness according to Key performance indicator reporting → Need for policy update? — no / yes

AFHD

Receive feedback on policy effectiveness

Approve need for update? — yes → HR.B.1 / no → End of process

SSC

Send feedback on policy and procedures application

Depts. / Indep. Off.

Send feedback on policy and procedures application

Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Learning
Process overview

HR Learning aims at ensuring that the competencies and skills of FAO's Human Resources are developed to a level and in areas that support the Organization's strategic objectives. In doing so, the process aims at supporting career development and continuous learning throughout the Organization.

HR Learning sub-processes:

HR.C.1	HR.C.2	HR.C.3	HR.C.4
Gap Analysis on training needs	*Planning*	*Execution*	*Evaluation*

HR Learning – Sub-process C.1
Gap analysis on training needs

INPUT	ACTIVITIES	OUTPUT

Depts. / Indep. Off.
- Training needs → Consultation on training needs

AFHT
- HR Planning
- Staff development plan (PEMS)
- Evaluation report
- HR.C.4

Review comp. development requirements → Review current course (OLM) → Course (OLM) available to meet the gap?

- no → Create prioritized lists of courses (OLM) to develop
- yes → Review evaluation feedback → Revision of current course (OLM)

Create list of learning methodologies

Lists of course (OLM) to dev. → HR.C.2
Development methodology → HR.C.2

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HR Learning – Sub-process C.2
Planning (1/2)

	INPUT	ACTIVITIES	OUTPUT

AFHT

HR.C.1

Develop. Delivery modes (OLM)

List of courses (OLM)

Align courses (OLM) with delivery modes and corporate strategy

Define dev. & implementation timeframe

Corporate HR Learning Plan

Draft Plan* to develop/deliver/ procure, courses (OLM) and classes

Define catalogue detailed content and requirements

List of possible suppliers** to be recruited

Select suppliers**

List of developers/ trainers recruited

Update catalog

HR Communication

Updated catalog

AFH D

Draft Plan approved?
no   yes

Receive List of possible suppliers for information

List and funding approved?
no   yes

*Corporate HR Development Plan   **Suppliers = Trainers, Developers, Consultants

Activity managed on HRMS

Food and Agriculture Organization of the United Nations
Root and Branch Review – Final Report

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HR Learning – Sub-process C.2
Planning (2/2)

INPUT	ACTIVITIES	OUTPUT

Learner

- Updated catalog
- Access to HRMS
- Review the proposed catalogue
- Staff development plan (PEMS)
- HR Staffing
- Identified development needs
- Courses and classes (OLM) available in the catalog?
  - yes → Final determination of development needs → Draft Individual Learning Path
  - no → Review external opportunities
- Final determination of development needs

Learner supervisor

- Approved?
  - no
  - yes → Individual learning Path → HR.C.3

Activity managed on HRMS

Food and ... the United Nations
Root and Branch Review – Final Report

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HR Learning – Sub-process C.3
Execution (1/2)

INPUT	ACTIVITIES	OUTPUT

AFHT
- HRMS
- Create class / identify groups
- Internal learner? — no → Identify customer and enroll contacts (OLM)
- yes
- Notify potential participants
- Charge / Invoice & track payment? — yes
- Organize class (OLM) (book equip., materials)
- HR.C.3
- Attendance insertion

Learner
- HR.C.2
- Individual learning Path
- Enroll in class / internal training (OLM)
- Request for approval
- Pay fee at treasury? — no
- yes
- List of enrollment
- Confirm participation
- Class (OLM) and partic. ready

Supervisor
- no ← Request approved? → yes
- Classes funded by division? — no → Funded by corporate budget? — no
- yes
- yes

Depts. / Indep. Off.
- Request approved? — no / yes

AFHT
- Request approved? — no / yes

Food and ... the United Nations

Root and Branch Review – Final Report

Page 112

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HR Learning – Sub-process C.3
Execution (2/2)

INPUT	ACTIVITIES	OUTPUT

AFHT
- Class (OLM) and participants ready
- HR Recruitment
- List of applicants/Contacts to examine
- Update competence profile
- Record results
- Applicant? → yes / no
- HR Recruitment
- Applicant test results

Trainer
- Conduct examinations
- HR.C.4

Activity managed on HRMS   the United Nations

Root and Branch Review – Final Report

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HR Learning – Sub-process C.4
Evaluation

INPUT	ACTIVITIES	OUTPUT

AFHT

HR.C.3

Development / Learning action concluded

Manage charging / payment → Accounts settled / payment made

Create certificate → Send certificate → *Competencies and skills developed* → HR Job Design

Request feedback → Compile evaluation results → Evaluation report → End of process

Learner

Provide feedback

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Root and Branch Review – Final Report

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Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Performance Management
Process overview

HR Performance Management aims at ensuring the achievement of FAO's strategic goals and at improving accountability and performance. HR Performance Management promotes competency development and learning by measuring the achievement of individual developmental objectives.

HR Performance Management sub-processes:

HR.D.1 Preparation of Performance Evaluation Plan (PEMS Agreement)	HR.D.2 Mid-Year Progress Review	HR.D.3 Year-End Evaluation	HR.D.4 Organizational Review of Performance Evaluation

HR Performance Management – Sub-process HR.D.1
Preparation of Performance Evaluation Plan (PEMS Agreement)

	INPUT	ACTIVITIES	OUTPUT
ODG	Corporate Strategic Goals / RBM Framework		
Depts. / Indep. Off.	Provide input for PBW formulation	Development of department / division / branch / service Work Plans	
AFHE	HR Job Design		
AFHT		Provide guidance and support in defining the performance evaluation criteria and rating system as well as in applying them / Provide ongoing guidance and support on Performance Mgt process and PEMS	HR.D.2 HR.D.3 / HR Learning
Supervisor		Objective setting meeting with Group / Sign PEMS Agreement	
Staff member		Development of PEMS Agreement: -Individual work plan objectives -Competency profile -Development plan / Individual objectives setting meeting to discuss: Individual work plan objectives Competency profile Development plan / Sign PEMS Agreement / PEMS Agreement confirmed in online system	

Food and *Activity planned to be managed in PEMS* s

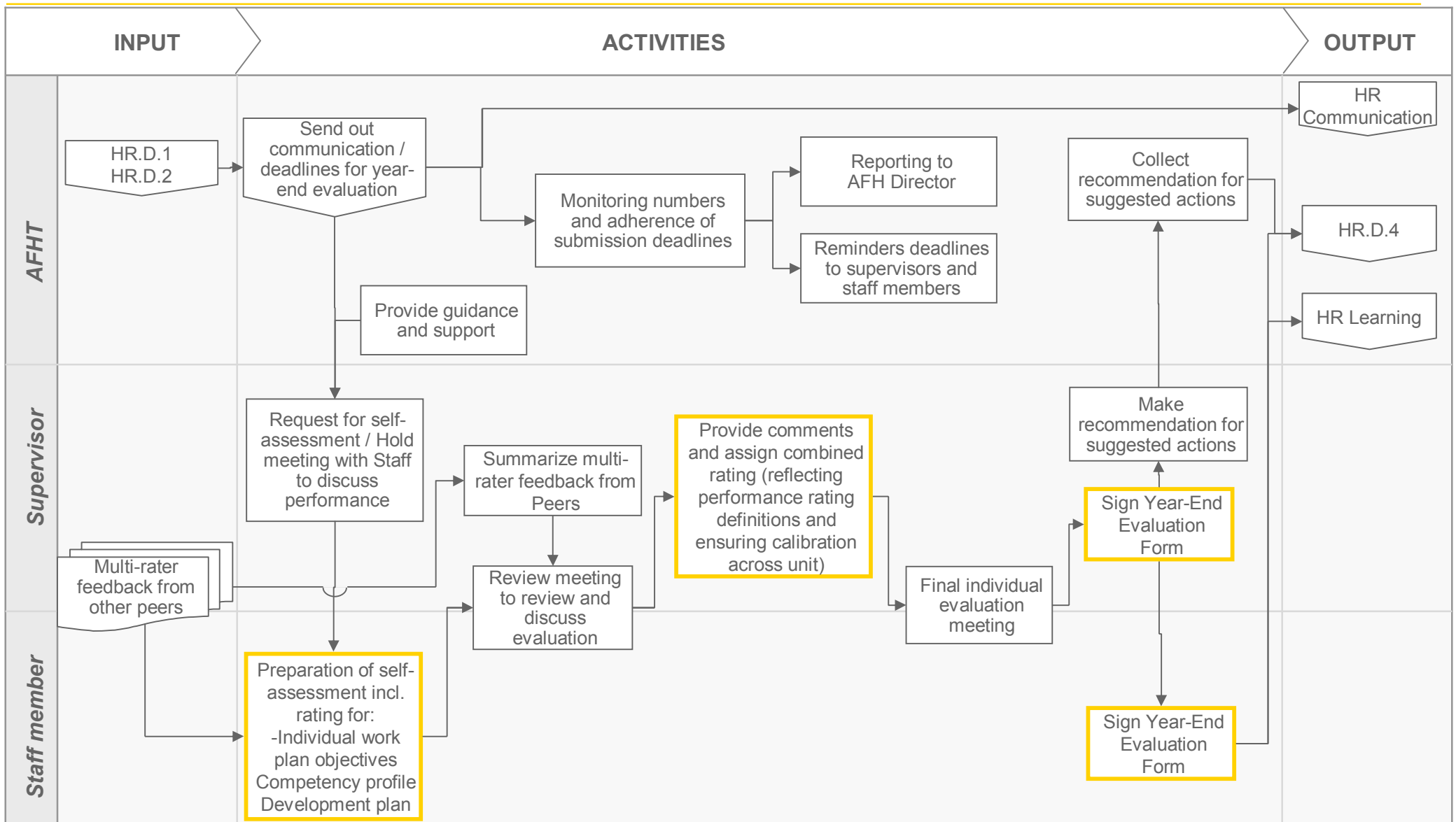*Root and Branch Review – Final Report*

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HR Performance Management – Sub-process HR.D.2
Mid-Year Progress Review

HR Performance Management – Sub-process HR.D.3
Year-End Evaluation

INPUT	ACTIVITIES	OUTPUT

AFHT

- HR.D.1 / HR.D.2 → Send out communication / deadlines for year-end evaluation
- Send out communication → Monitoring numbers and adherence of submission deadlines
- Monitoring numbers and adherence of submission deadlines → Reporting to AFH Director
- Monitoring numbers and adherence of submission deadlines → Reminders deadlines to supervisors and staff members
- Provide guidance and support
- Collect recommendation for suggested actions

Outputs: HR Communication; HR.D.4; HR Learning

Supervisor

- Request for self-assessment / Hold meeting with Staff to discuss performance
- Summarize multi-rater feedback from Peers
- Provide comments and assign combined rating (reflecting performance rating definitions and ensuring calibration across unit)
- Review meeting to review and discuss evaluation
- Final individual evaluation meeting
- Make recommendation for suggested actions
- Sign Year-End Evaluation Form

Staff member

- Multi-rater feedback from other peers
- Preparation of self-assessment incl. rating for:
  - Individual work plan objectives
  - Competency profile
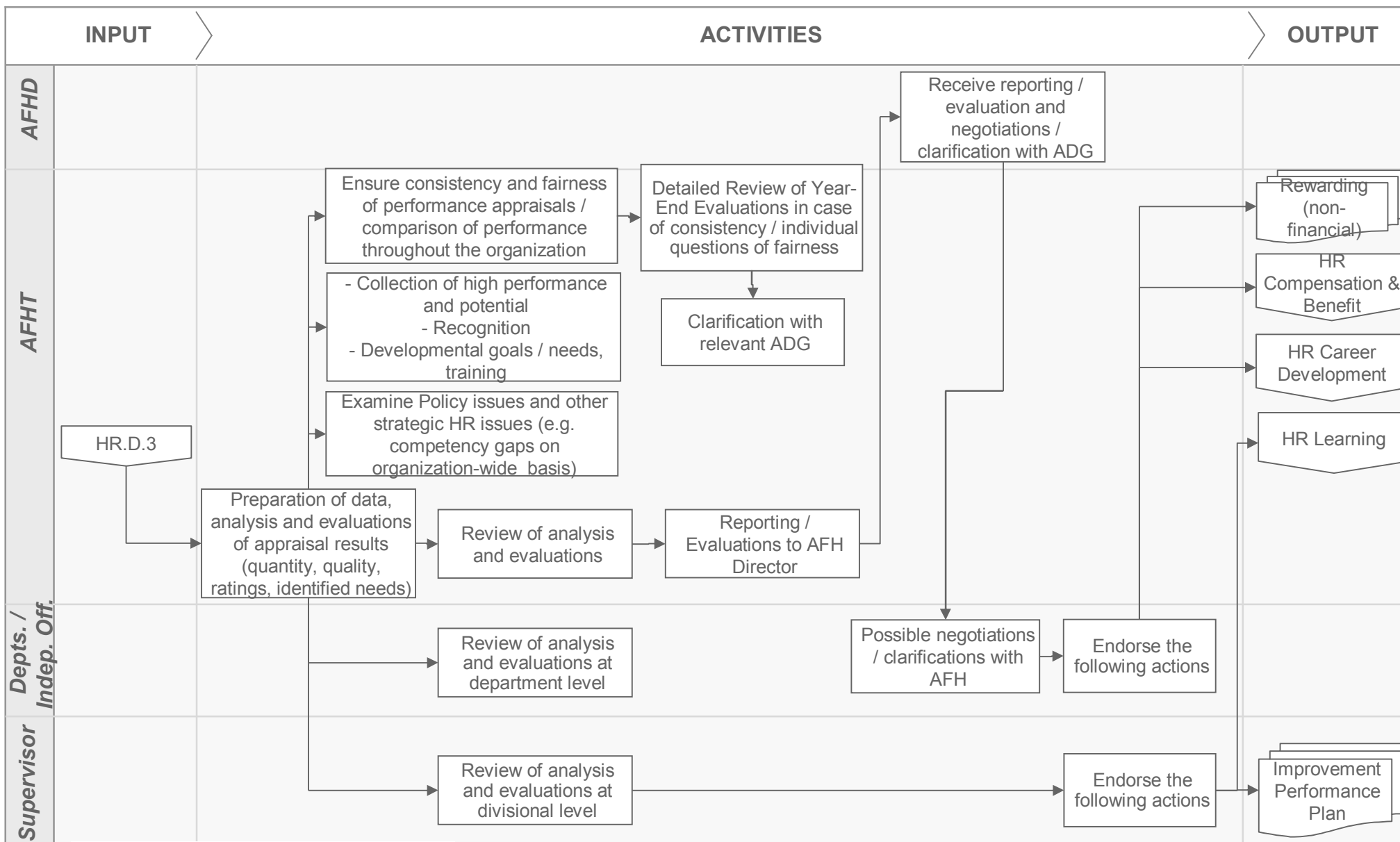 - Development plan
- Sign Year-End Evaluation Form

☐ *Activity planned to be managed in PEMS*

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HR Performance Management – Sub-process HR.D.4

Organizational Review of Performance Evaluation

INPUT	ACTIVITIES	OUTPUT

AFHD

Receive reporting / evaluation and negotiations / clarification with ADG

AFHT

Ensure consistency and fairness of performance appraisals / comparison of performance throughout the organization

Detailed Review of Year-End Evaluations in case of consistency / individual questions of fairness

- Collection of high performance and potential
- Recognition
- Developmental goals / needs, training

Clarification with relevant ADG

Examine Policy issues and other strategic HR issues (e.g. competency gaps on organization-wide basis)

HR.D.3

Preparation of data, analysis and evaluations of appraisal results (quantity, quality, ratings, identified needs)

Review of analysis and evaluations

Reporting / Evaluations to AFH Director

Rewarding (non-financial)

HR Compensation & Benefit

HR Career Development

HR Learning

Depts. / Indep. Off.

Review of analysis and evaluations at department level

Possible negotiations / clarifications with AFH

Endorse the following actions

Supervisor

Review of analysis and evaluations at divisional level

Endorse the following actions

Improvement Performance Plan

Activity planned to be managed in PEMS

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Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

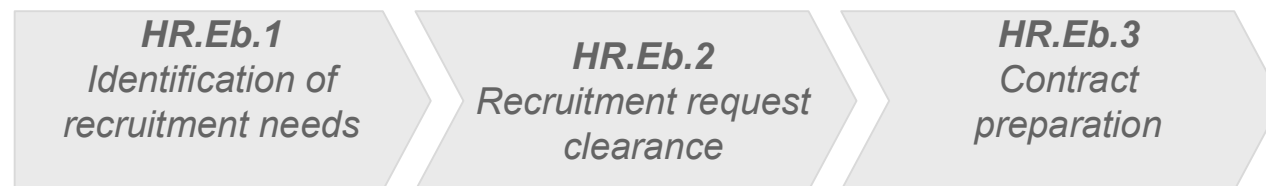▶ **J. HR Job Design**

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HR Recruitment
Process overview

Recruitment aims at identifying the right candidate for a vacant position and at ensuring that the candidate has the appropriate experiences, knowledge and skills in order to perform the work efficiently, contributing to the development of FAO

HR Recruitment sub-processes for staff members*:

| HR.Ea.1 Vacancy Announcement Issuance | HR.Ea.2 Screening of applications | HR.Ea.3 Selection | HR.Ea.4 Management of old applications |

HR Recruitment sub-processes for non-staff human resources:**

| HR.Eb.1 Identification of recruitment needs | HR.Eb.2 Recruitment request clearance | HR.Eb.3 Contract preparation |

* The Recruitment process for staff members is described for Professional and General Staff positions, both at HQ and DOs

** The Recruitment process for non staff human resources is described for Consultants and PSAs, both at HQ and DOs
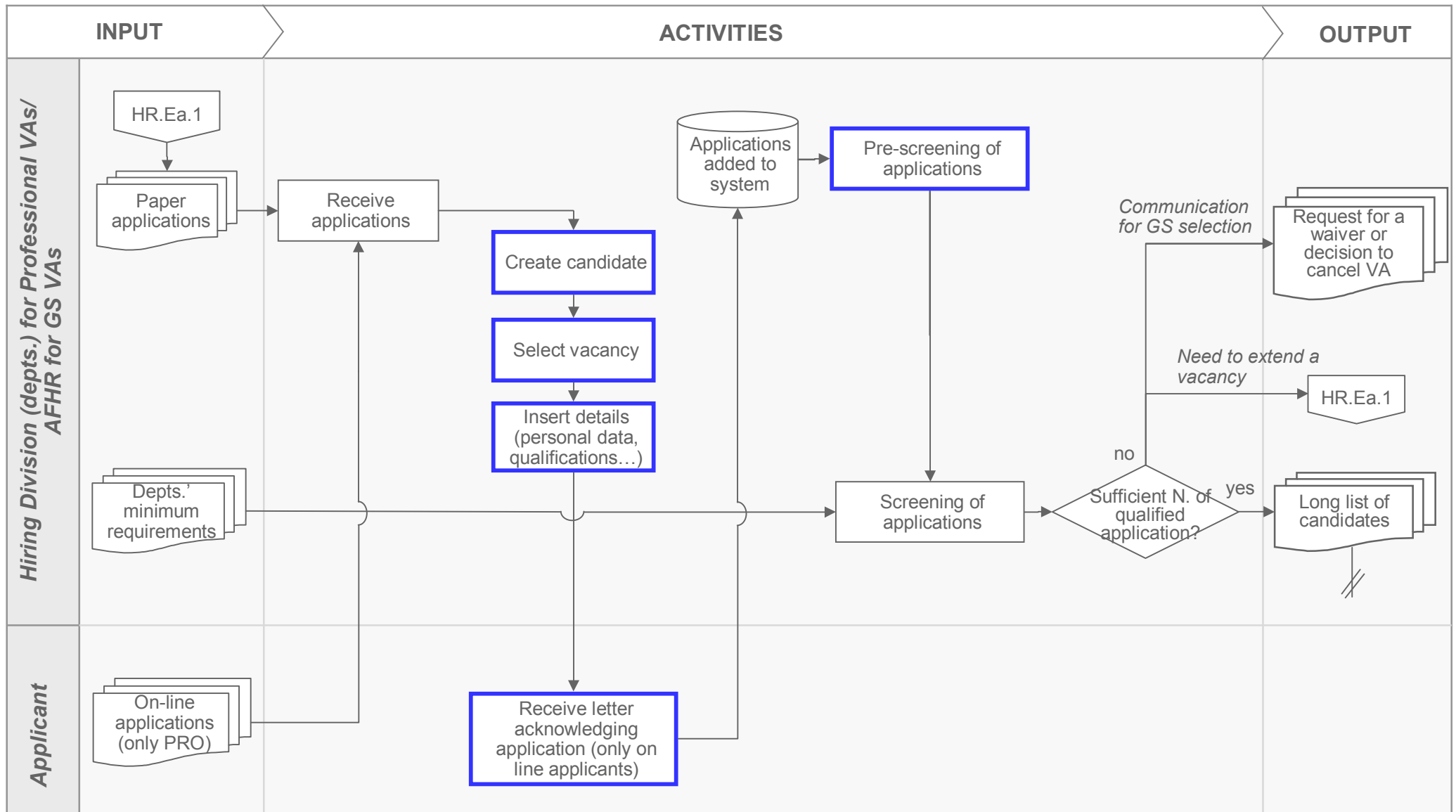
HR Recruitment – Sub-process Ea.1
Issuance of Vacancy Announcement

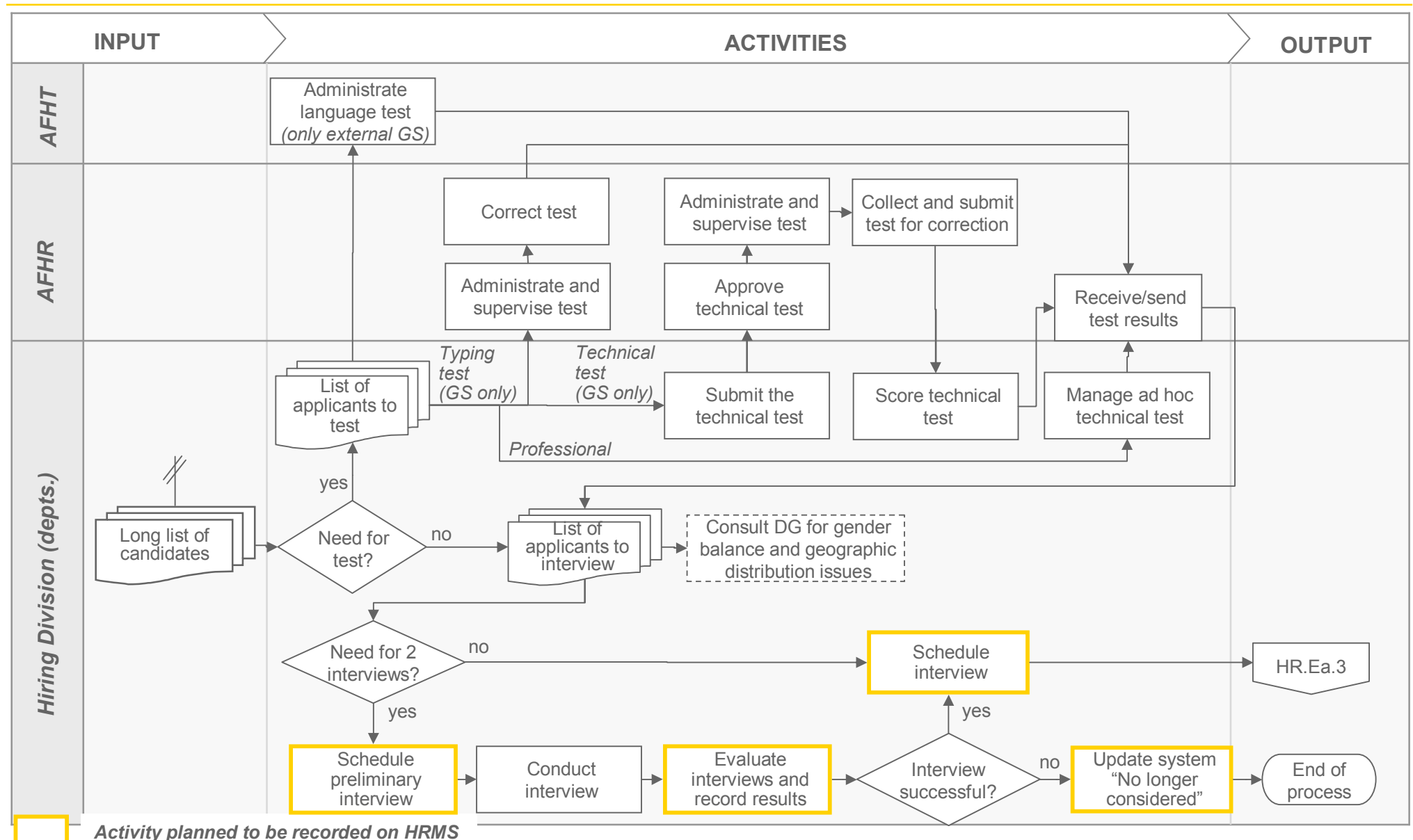| INPUT | ACTIVITIES | OUTPUT |

AFHR
- HR.Ea.2
- *Need to extend a vacancy*
- Receive VA for advertisement (for GS only)
- Consult for redeployment needs (for GS only)
- Define advertisement channel for Vas (for GS only)
- Issue Vacancy Announcement

AFHE
- HR Job Design
- Review/define VA with job specifications
- Consult for redeployment needs (for PRO only)
- Issued vacancy
- HR.Ea.2

Approval Authority*
- Approved? — no / yes

Hiring Division (depts.)
- Define and send Vacancy Announcement (V.A.)

*Approval Authority is either on behalf of Director AFH or Head of Units AFHR depending on the advertisement being internal or external, and on the VA being for Professional or General Staff positions

HR Recruitment – Sub-process Ea.2
Screening of applications (1/2)

Activity currently managed on ATS (application tracking system) only for PRO. Planned to be carried out through HRMS also for GS

HR Recruitment – Sub-process Ea.2
Screening of applications (2/2)
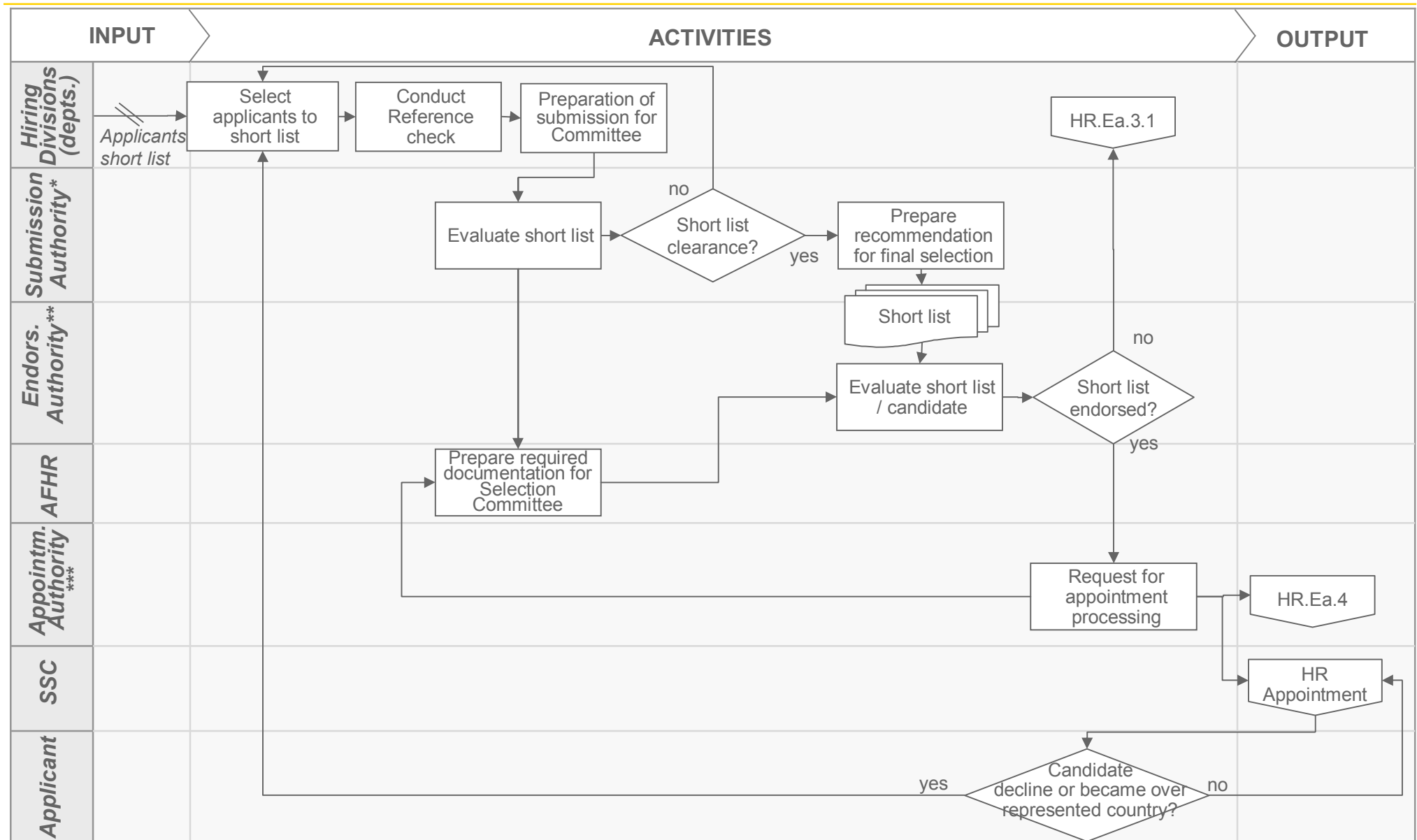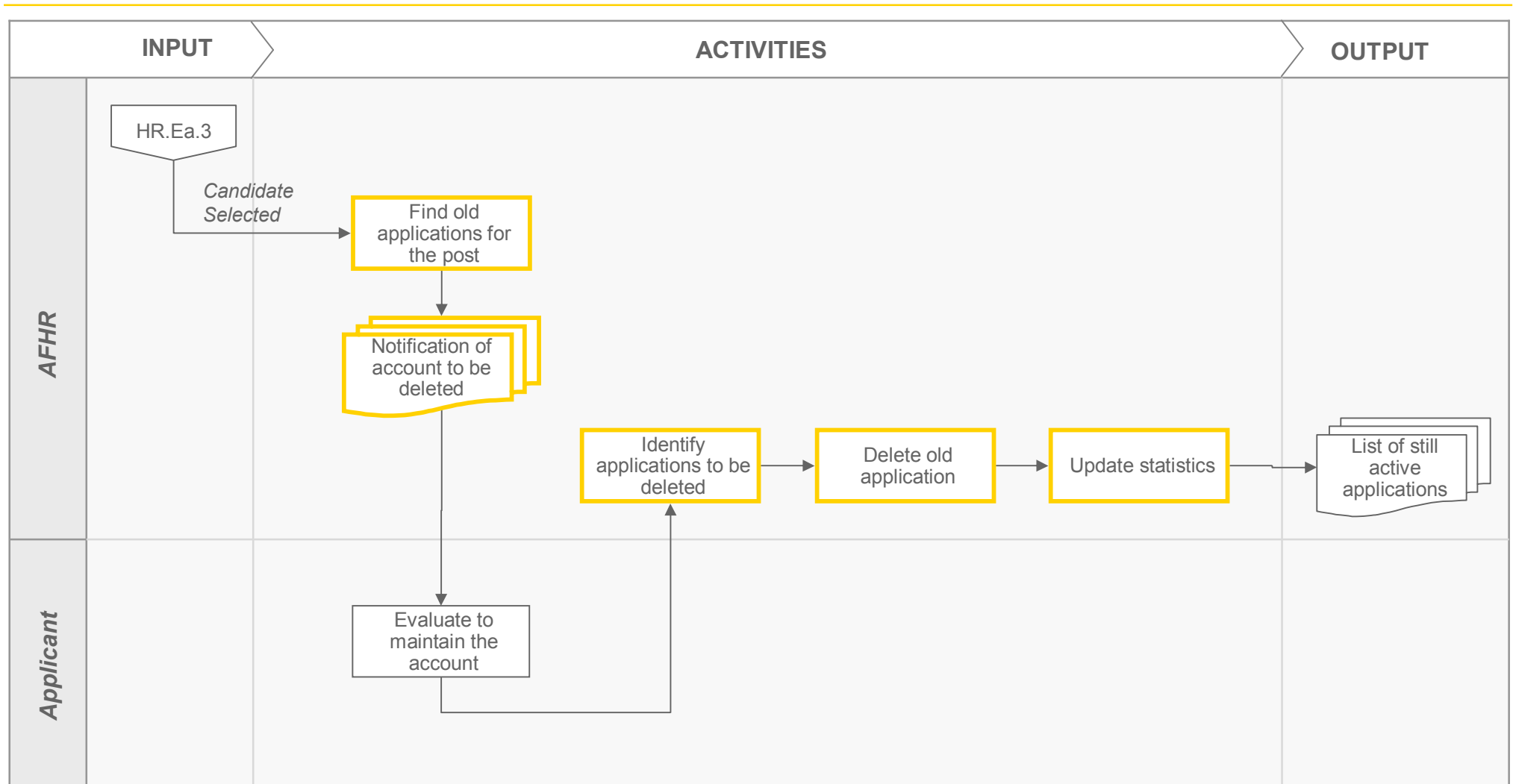
HR Recruitment – Sub-process Ea.3.1
Selection (1/2)

INPUT	ACTIVITIES	OUTPUT

Hiring Division (depts.)

HR.Ea.2 → Conduct interview → Evaluate interviews and record results → Conduct reference check

Evaluation successful?
- yes → All applicant interviewed?
  - yes → Applicants short list
  - no →
- no → End of process

HR.Ea.3.2 → Applicants short list
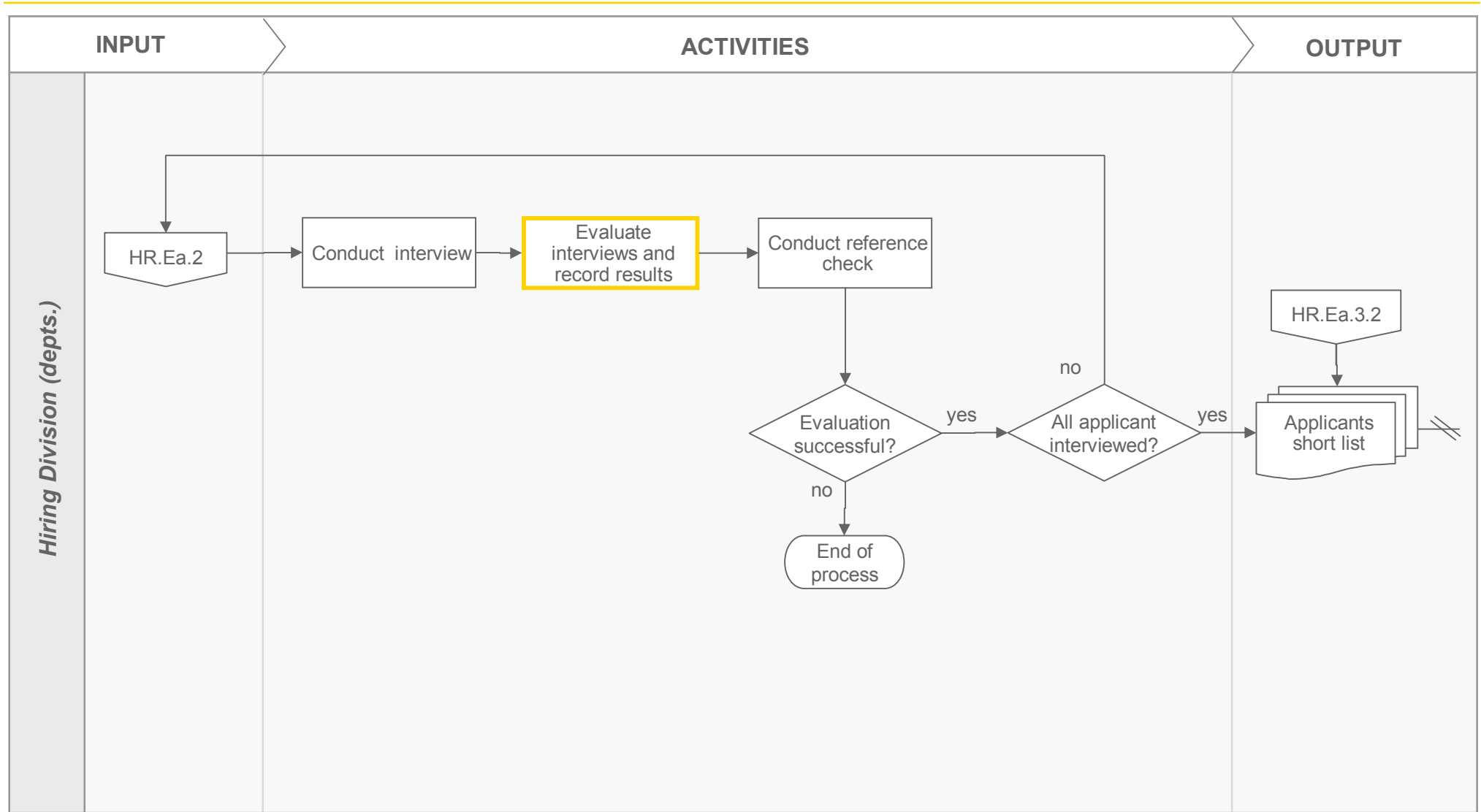
Activity managed on ATS (application tracking system) only for PRO. Planned to be carried out through HRMS

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HR Recruitment – Sub-process Ea.3.2
Selection (2/2)

| INPUT | ACTIVITIES | OUTPUT |

Hiring Divisions (depts.)
- Applicants short list
- Select applicants to short list → Conduct Reference check → Preparation of submission for Committee
- HR.Ea.3.1

Submission Authority*
- Evaluate short list → Short list clearance? — no / yes → Prepare recommendation for final selection → Short list

Endors. Authority**
- Evaluate short list / candidate → Short list endorsed? — no / yes

AFHR
- Prepare required documentation for Selection Committee

Appointm. Authority**
- Request for appointment processing → HR.Ea.4

SSC
- HR Appointment

Applicant
- Candidate decline or became over represented country? — yes / no

* Submission Authority: ADG (PRO) and Director AFH for GS positions at HQ
**Endorsement authority: PSSC (for Professional Staff), GSSSC (for General Service staff located in HQ), FSSC (in the Field) or Project Panel (HQ/Field)
***Appointment Authority is either on behalf of Head of Depts., Regional Rep. or Independent Offices, depending on the appointment being at HQ or DOs, for PRO

HR Recruitment – Sub-process Ea.4
Management of old applications

| INPUT | ACTIVITIES | OUTPUT |

AFHR

HR.Ea.3

Candidate Selected

Find old applications for the post

Notification of account to be deleted

Identify applications to be deleted → Delete old application → Update statistics → List of still active applications

Applicant

Evaluate to maintain the account

☐ **Activity planned to be carried out through HRMS**

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HR Recruitment (non staff) – Sub-process Eb.1
Identification of recruitment needs

	INPUT	ACTIVITIES	OUTPUT
SSC Personnel			Terms of Reference
Depts. / Indep. Off.	*Need for external support*	Specify need and check funds availability → Know consultant? — yes → Define ToR and send PHF** → Propose contract type and rate → Inform Consultant/PSA and ask for PHF; no → Require VA for advertisement / Pick up by internal "rosters" → HR.Ea.3	
Consultant / PSA		Complete PHF	Personal History Form → HR.Eb.2
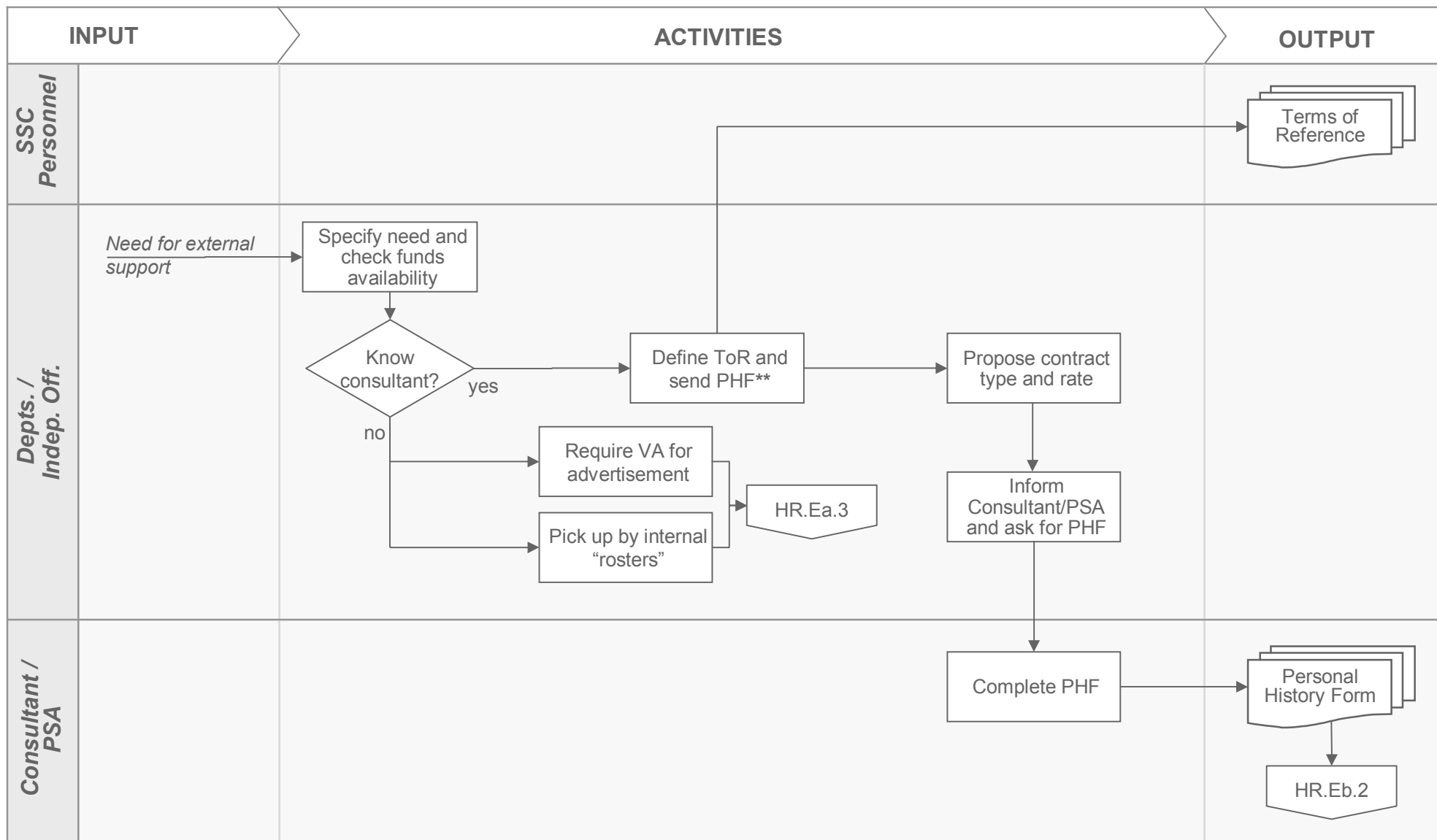
HR Recruitment (non staff) – Sub-process Eb.2
Recruitment request clearance

INPUT	ACTIVITIES	OUTPUT

Divisional initiator*

- HR.Eb.1
- *Personal History Form*
- Prepare all requested documentation***
- e-Personnel Processing Request

Depts. / Indep. Off.

- Clear Personnel Processing Request

SSC Personnel

- Review the on line request and ePPR****/PPR form
- Contract type and rate adequate? — yes → Endorse proposed contract rate → Create Oracle HR record / Create vendor record → Oracle Purchase Order (PO) → HR.Eb.3
- no
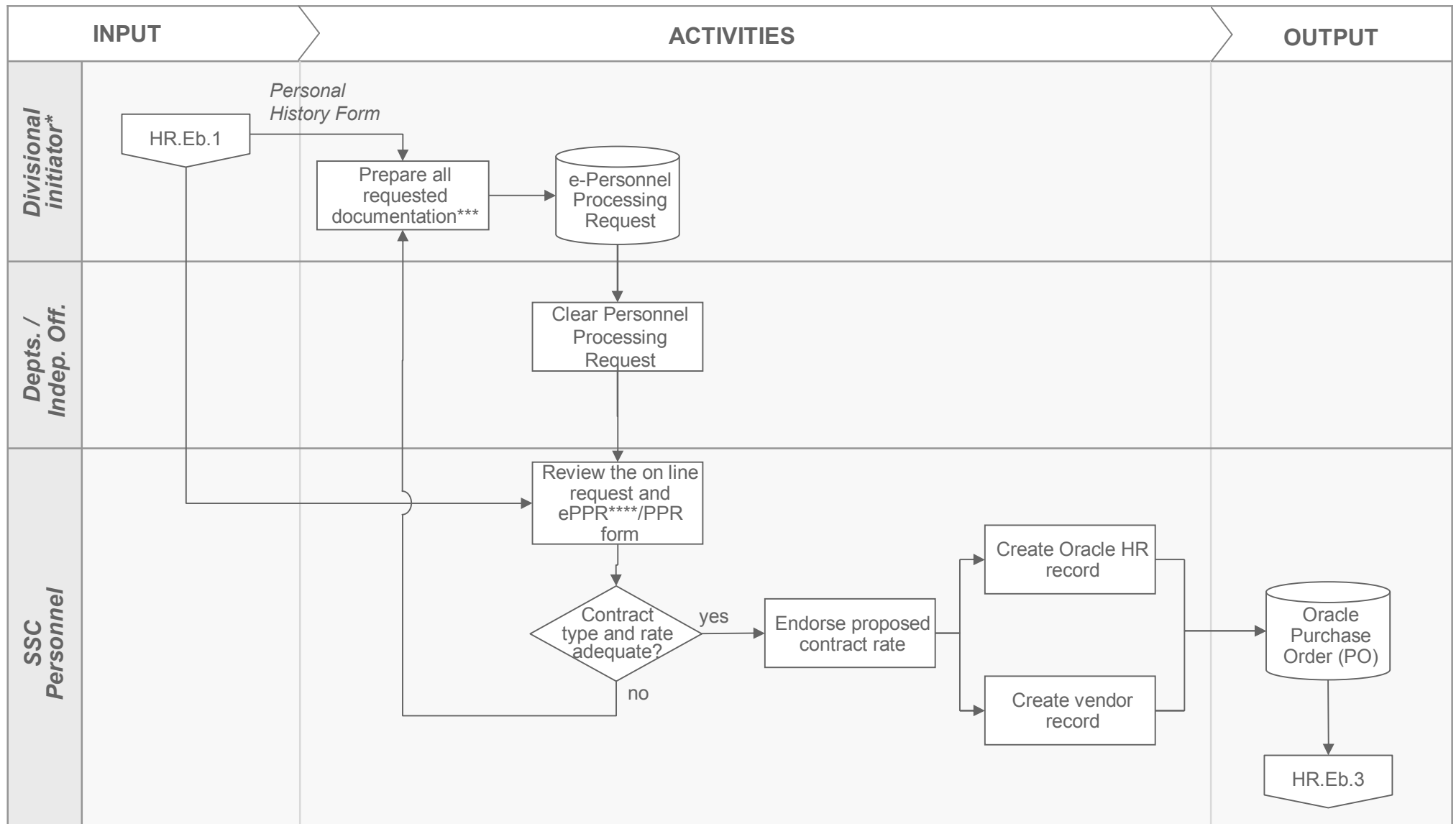
* Administrative staff in Technical Div for HQ and FAOR or SRO/RO
** FAOR or SRO for recruitment by FAOR/SRO in Africa, Near East & Europe
*** TOR, PHF, Security, Medical Assistance, Governmental approval
**** ePPR = Personnel Processing Request

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HR Recruitment (non staff) – Sub-process Eb.3
Contract preparation

INPUT	ACTIVITIES	OUTPUT

SSC Personnel

- HR.Eb.2
- Oracle Purchase Order (PO)
- Record created in HRMS
- Cross-reference HR assignment record and PO
- Run Standard Contract Data Sheet
- Corrections required?
  - no → Verify Standard Contract Data Sheet
  - yes → Make necessary correction
- Sign and file Standard Contract Data Sheet**
- Prepare Contract and send to Consultant/PSA
- Review of the proposed fee
- Inform Budget holder
- Execute contract formalities
- Obtain/follow up clearance****
- Inform Budget holder and Divisional Initiator***
- End of process

Consultant / PSA

- Contract
- Contract accepted?
  - no → Review of the proposed fee
  - yes → Contract accepted

Depts. / Indep. Off.

- Agreement with changed fee?
  - yes
  - no → End of process

---

* FAOR or SRO for recruitment by FAOR/SRO in Africa, Near East & Europe

** In cases of extension the department is responsible to send the SCDS and a copy of the request for extension to SSC

***Administrative staff in Technical Div for HQ and FAOR or SRO/RO

Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Planning
Process overview

HR Planning aims at identifying requirements for enabling a long term planning and a succession planning of resources according to the overall corporate needs and strategy. As a result, HR Planning prevents critical situations on HR matters.

HR Planning sub-processes:

HR.F.1
Identification of planning requirements and gap analysis

HR.F.2
Development of action plans

HR.F.3
Monitoring

HR Planning – Sub-process HR.F.1

Identification of planning requirements and gap analysis

INPUT	ACTIVITIES	OUTPUT

Depts. / Indep. Off.
- PWB / AWP → Identify resource needs → Communicate short-term needs to AFHP → Request for position to be filled → HR Staffing
- Discuss long-term needs with AFHP → Request for new position / extension → HR Job Design

AFHP
- HR Strategic Planning
- Provide guidance during PWB and AWP process (e.g. on FTE targets per level)
- Analysis of current HR resource situation (*)
- Identification of long-term HR resource needs → Analyze and prioritize needs → Match projected HR supply with projected requirements → Gap analysis on competencies, skills and resources → Gap reports (*) → HR.F.2

AFHE
- HR Organizational design
- List of key positions
- Communicate data on competencies, skills and resources

AFHD
- Receive Gap Reports for information

(*) By gender, job category, nationality, competencies / skills, org unit, territory, retirees, …

Food and Agriculture Organization of the United Nations
Root and Branch Review – Final Report

Page 134

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Quality In Everything We Do

HR Planning – Sub-process HR.F.2
Development of action plans
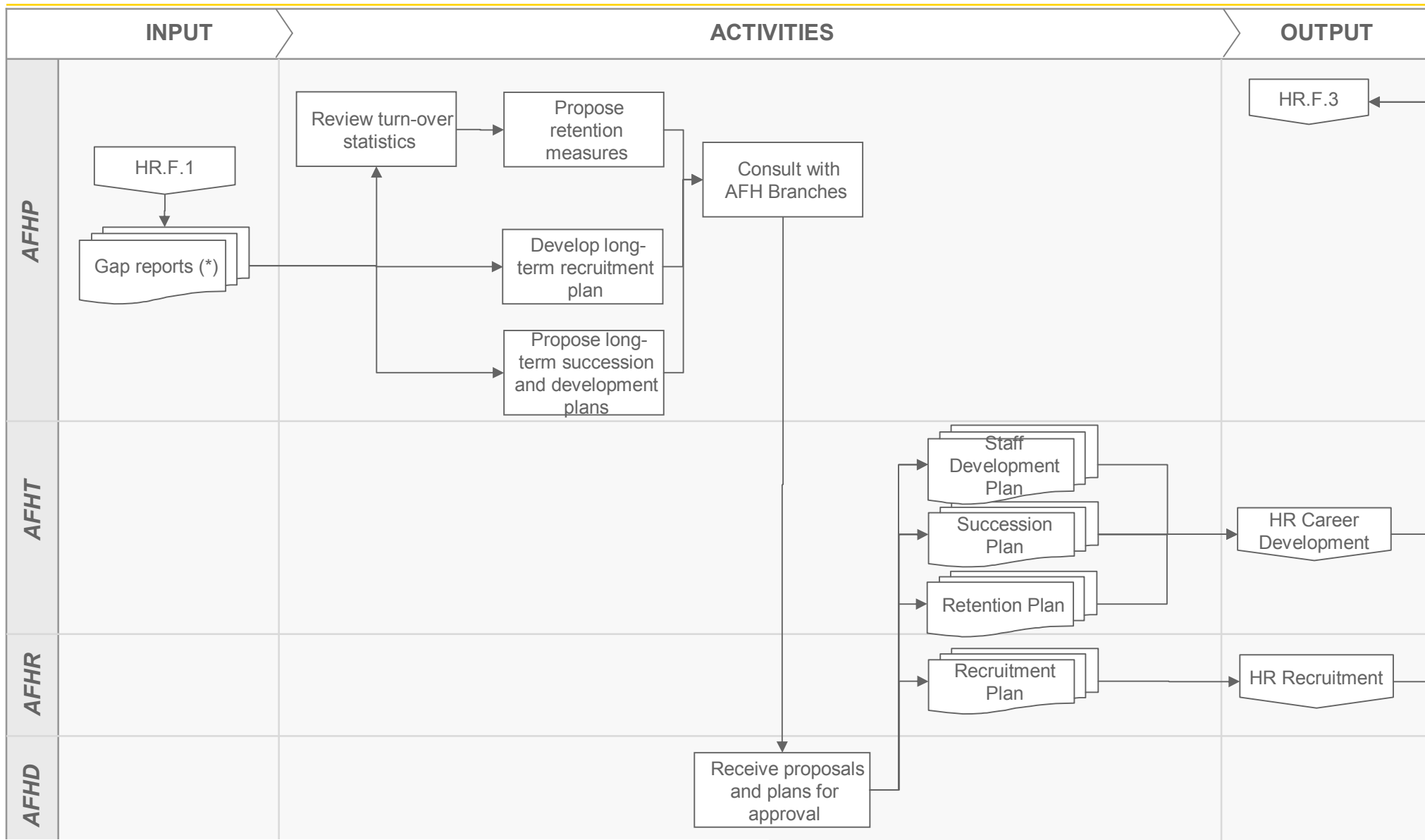
(*) By gender, job category, nationality, competencies / skills, org unit, territory, retirees, …

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HR Planning – Sub-process HR.F.3
Monitoring
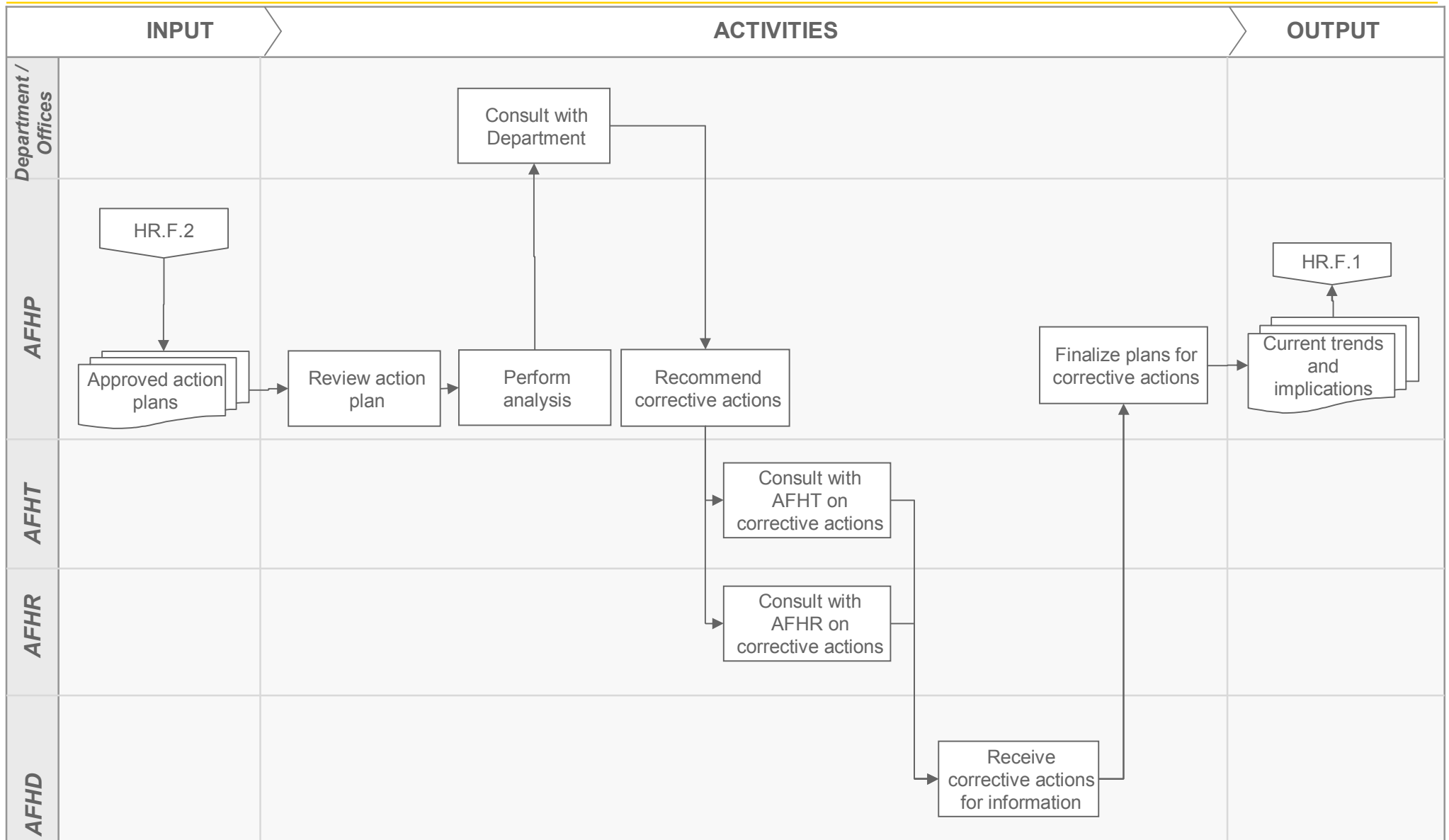
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Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Staffing
Scope, sub-processes and type of staffing

The **HR Staffing** process manages all staff movements and optimizes the internal human resource allocation by matching staff members (supply) to appropriate positions (demand).

HR Staffing sub-processes:

HR.G.a.1
Management of staff movements

HR.G.b.1
Application for reduced work schedules

HR.G.2
Monitoring staffing application
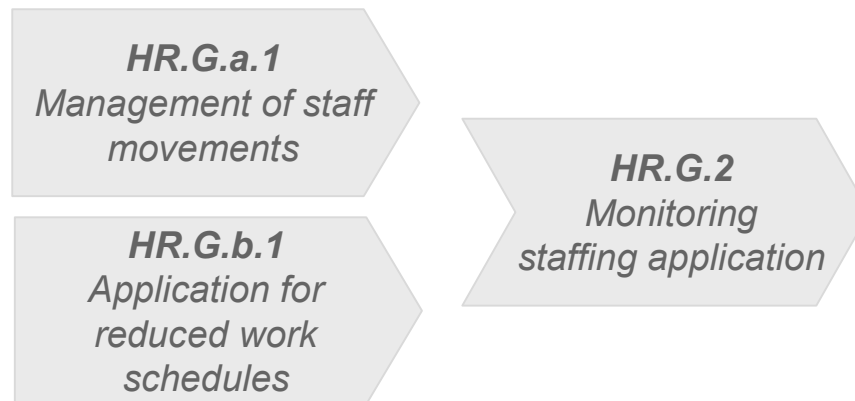
HR Staffing – Sub-process HR.G.a.1
Management of staff movements – high-level process

| | INPUT | ACTIVITIES | OUTPUT |

Depts. / Indep. Off.
- Future vacancies*
- Consultation with departments
- Assessment of candidates
- Match successful?

AFHP
- Policy on mobility programmes

AFHE
- Relevant job description and competencies

AFHT
- Career development plan (PEMS)
- HR Learning HR Career dev. HR Performance Mgmt

AFHR
- Collect input on positions to be filled
- Match of positions / candidates
- Identification of suitable candidates
- Provide recommendation
- Decide on VA
- Agree on movement with involved parties
- HR Recruitment

AFHD
- Approved?

SSC
- Collect inputs on staff member applying (CV, profile, etc.)
- Communicate available candidates to AFHR
- HR Servicing

Staff Member
- Consultation with releasing department
- Application for mobility programme **
- Consultation with staff member

Match successful? — no → Decide on VA
Match successful? — yes ↓
Provide recommendation ↓ Approved? — no / yes → Agree on movement with involved parties

* **Future vacancies can be due to**: mandatory mobility, job sharing, redeployment, any other kind of vacant positions.
** **Application for mobility programme**: voluntary mobility, redeployment, return from Inter-Organization assignment, return from

HR Staffing – Sub-process HR.G.b.1
Application for reduced work schedules
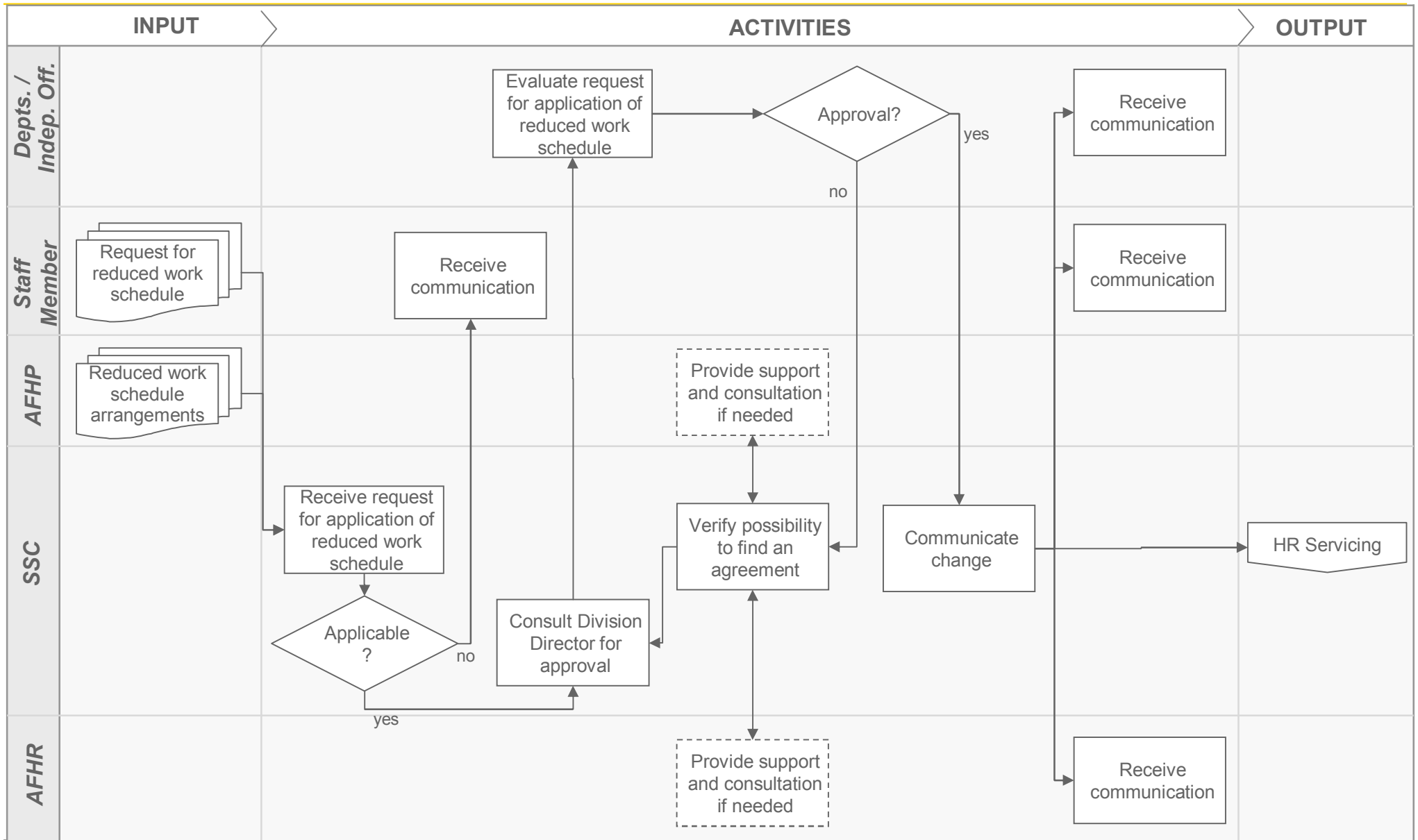
HR Staffing – Sub-process HR.G.2
Monitoring staffing application

	INPUT	ACTIVITIES	OUTPUT
AFHP	Policy on mobility programme	Technical consultation on policy application	
Depts. / Indep. Off.	Feedback on successful or non-successful movement	Consultation on possible improvements	
AFHT	Career development / Performance results (PEMS)	Consultation on possible improvements	
AFHR		Ensure consistent and fair approach in staffing resources → Provide guidance to Departments; Review / analysis of data on overall and individual movements → Identify issues → Determine possible improvements; Provide counseling to staff member; Develop action plan to improve process and to manage unsuccessful movements	HR Communication / Action Plan
AFHD		Receive action plan for information	
Staff member	Feedback on successful or non-successful movement		

Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Communication
Process overview

HR communication aims at facilitating and disseminating communications on HR matters across the Organization as well as to external stakeholders by defining contents, targets, key messages, channels and tools.

HR Communication sub-processes:

HR.H.1
Set communication strategy and guidelines

HR.H.2
Develop Communication Plan

HR.H.3
Monitor communication effectiveness
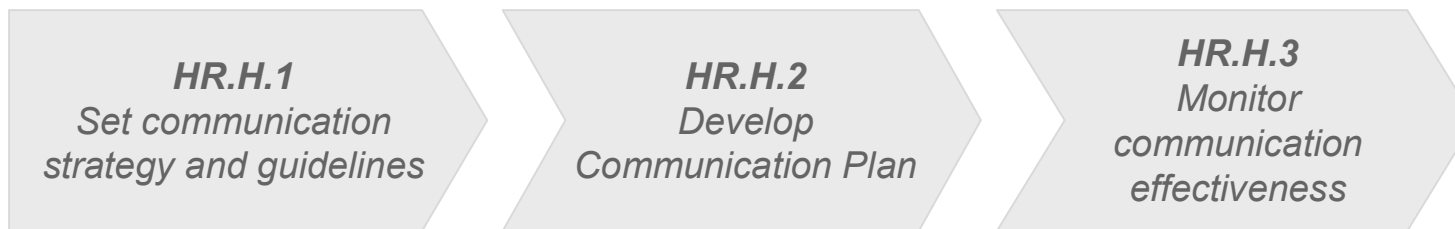
HR Policy – Sub-process H.1
Set communication strategy and guidelines

	INPUT	ACTIVITIES	OUTPUT

AFHE, AFHL, AFHR, AFHS, AFHT

All HR processes

information, initiatives, process outputs that need to be disseminated

Collaboration and information

AFHP*

Corporate communication plan

HR.H.3

PWB Agreements with Staff Rep. Bodies

Scenario's analysis

Develop HR communication strategy

Collect and select communication requirements

Verify the compliance and coherence with corporate communication

Approved by AFH Director?

no

yes

Finalize HR communication strategy

Communication guidelines

HR.H.2

SSC

Provide suggestions on communication requirements

Depts. / Indep. Off.

Provide suggestions on communication requirements

* In order to be consistent with RBR analysis carried out during Stage 1 the HR Communication ownership is assigned to AFHP. This decision was taken because the branch is currently responsible for the strategic and advisory processes which also impact on another

HR Policy – Sub-process H.2
Develop Communication Plan

	INPUT	ACTIVITIES	OUTPUT

SSC
- Provide communication needs on HR servicing processes

AFH D
- Receive HR Communication Plan for information

AFH P
- Communication guidelines
- *All HR processes*
- Communication needs on demand
- Set up and organize contents, messages, targets, timelines, channels
- Draft Communication Plan/ad hoc communication
- Need to be updated? → yes / no
- Finalize HR Communication Plan/ad hoc communication
- Elaborate KPIs to measure communication effectiveness

KC
- Provide suggestions on tools/channels
- Analyze feasibility and coherence with corporate communication
- Identify available channels, delivery time and costs / resources
- Define the implementation of the Communication Plan
- Disseminate communication messages through the selected channels
- HR.H.3
- HR communications sent out

HR Policy – Sub-process H.3
Monitor communication effectiveness

	INPUT	ACTIVITIES	OUTPUT
AFHE, AFHL, AFHR, AFHS, AFHT		Analyze and share the results within AFH	
AFH D		Receive Report for information	
AFH P		Evaluate feedback received → Report on communication effectiveness; Define mitigation action /improvement	End of process; HR.H.1
KC	HR communications sent out	Activate feedback mechanisms to monitor the communication implementation → Apply KPI and collect feedback on HR communication effectiveness → Monitor communication effectiveness through feedback	
SSC		Send feedback on contents developed and distributed	
Depts. / Indep. Off.		Send feedback on contents developed and distributed	
Saff members		Send feedback on contents developed and distributed	

Agenda

► **Introduction**

► **A. HR Strategy**

► **B. HR Policy**

► **C. HR Learning**

► **D. HR Performance Management**

► **E. HR Recruitment**

► **F. HR Planning**

► **G. HR Staffing**

► **H. HR Communication**

► **I. HR Career Development**

► **J. HR Job Design**

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HR Career Development
Process overview

HR Career Development aims at defining the model which guides the professional growth through experiences and competency development, aligning the individual professional development with the Organization's strategic objectives.

HR Career Development sub-processes:

HR.I.1
Career Model
Design

HR.I.2
Career
Planning and
Management

HR.I.3
Career
Monitoring

HR Career Development – Sub-process I.1
Career Model design

	INPUT	ACTIVITIES	OUTPUT
AFH P	HR Strategy HR Policy; UN Common System		
AFH E	HR Job Design; HR Organ. Design; Competency framework		
AFH T		Define Career Model principles → Design draft Career Model → Need to review requirements? → Finalize Career Model	Career Model Approved
AFH D		Share and agrre on Career Model principles → Draft approved? → Endorse Career Model	HR.I.2
ODG	Corporate strategy		
PBE	MTP PWB		
Depts. / Indep. Off.	Work planning	Consultation and provide feedback on the Model	

HR Career Development – Sub-process I.2
Career Planning and Management

	INPUT	ACTIVITIES	OUTPUT

AFH P
- HR Policy
- Planning requirements
- Retirement plan

AFH E
- HR Job Design
- HR Organ. Design

AFH T
- HR.I.1 / HR I.3
- Performance results (PEMS)

AFH R
- Recruitment /placement requirements
- vacancies list
- HR Staffing

AFH D

Depts. / Indep. Off.

Activities flow:
- Define draft Career Path planning
- Draft approved? (no → loops back up to inputs; yes → Provide feedback)
- Provide feedback → Need to adjust Career Path?
- Need to adjust Career Path? (no → Define draft Career Path planning; yes → Finalize Career Plan)
- Finalize Career Plan → Provide Career Model for information
- Finalize Career Plan → Career Plan (OUTPUT)

Output:
- HR I.3
- Career Plan
- HR Staffing / HR Planning / HR Perform. Mgmt / HR Learning

HR Career Development – Sub-process I.3
Career Monitoring
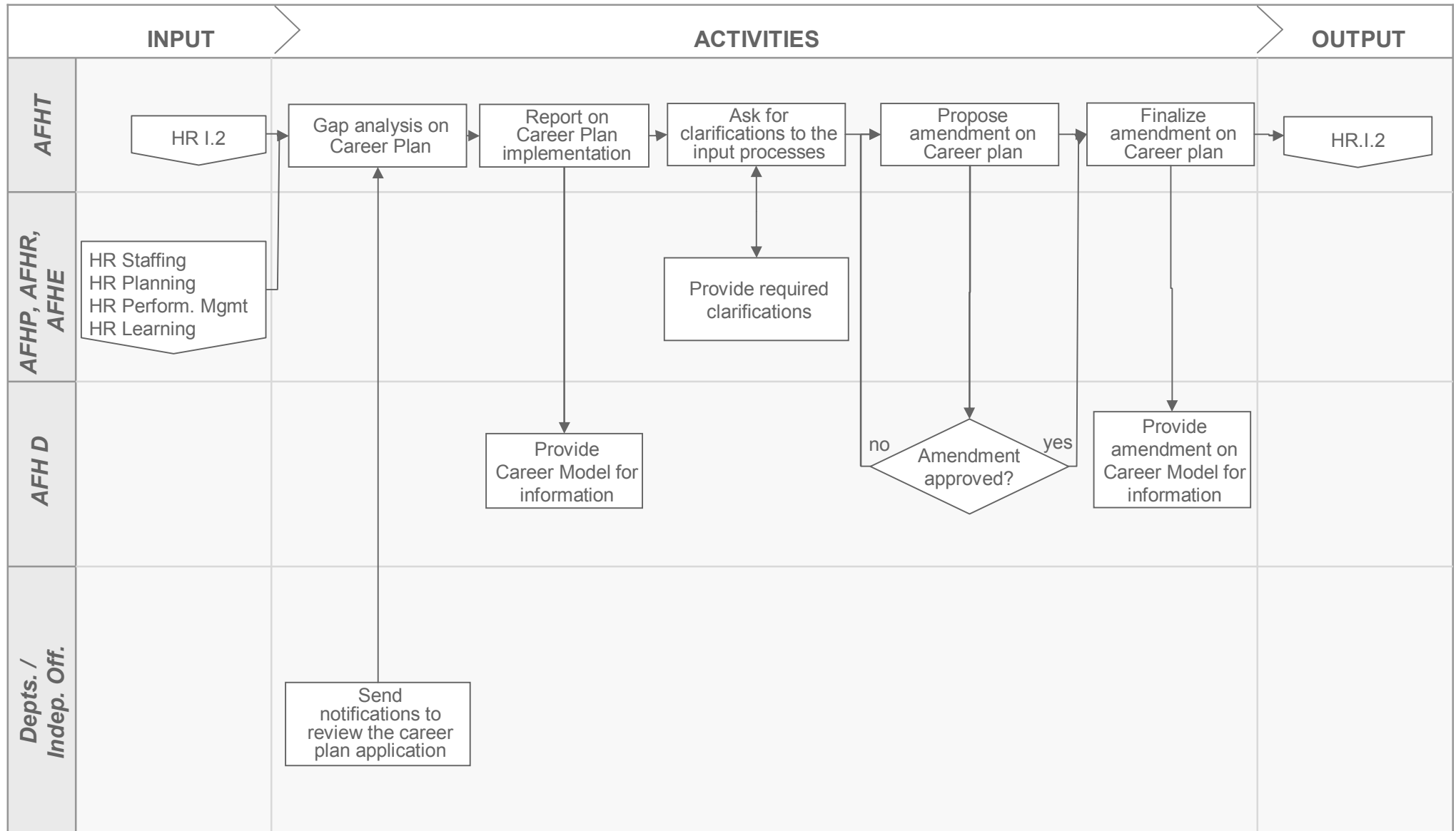
	INPUT	ACTIVITIES					OUTPUT
AFHT	HR I.2	Gap analysis on Career Plan	Report on Career Plan implementation	Ask for clarifications to the input processes	Propose amendment on Career plan	Finalize amendment on Career plan	HR.I.2
AFHP, AFHR, AFHE	HR Staffing HR Planning HR Perform. Mgmt HR Learning			Provide required clarifications			
AFH D			Provide Career Model for information		Amendment approved? no / yes	Provide amendment on Career Model for information	
Depts. / Indep. Off.		Send notifications to review the career plan application					

Agenda

▶ **Introduction**

▶ **A. HR Strategy**

▶ **B. HR Policy**

▶ **C. HR Learning**

▶ **D. HR Performance Management**

▶ **E. HR Recruitment**

▶ **F. HR Planning**

▶ **G. HR Staffing**

▶ **H. HR Communication**

▶ **I. HR Career Development**

▶ **J. HR Job Design**

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HR Job Design
Process overview

HR Job Design aims at providing a comprehensive framework for organizational requirements by constantly updating the Integrated Competency Framework and aligning job profiles to organizational needs and changes.

HR Job Design sub-processes:

| **HR.J.1** *Creation of Positions* | **HR.J.2** *Creation of non-standard Job Profile* | **HR.J.3** *Maintenance Job Profile / Competency Framework* |

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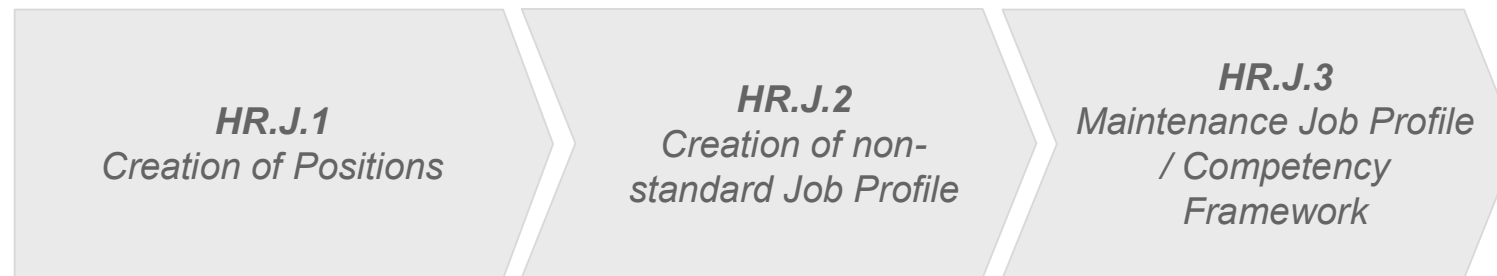
HR Job Design – Sub-process HR.J.1
Creation of Positions – TO BE Process

	INPUT	ACTIVITIES	OUTPUT

Depts. / Indep. Off.
- Work Planning (*)
- Position action request form
- Standard job profile available in GJP? — no → HR.J.2
- Standard job profile available in GJP? — yes → Confirm availability of fund by Budget Holder
- Check in Generic Job Profile Library
- Approve position action request (Director's Division or ADGs/Head Indep. Offices)
- Consultation between AFHE and Division
- Amendment to request or end of process

AFHE
- Generic Job Profile Library
- Request for regrading justified? — yes / no
- Receive request from SSC
- Provide information on establishment to AFH Director

SSC
- Receive request and documentation
- Regarding of position? — yes / no
- Establish position in HRMS
- HR Appointment

AFHR
- Issue a VA (if required)
- HR Recruitment

Food and Agriculture Organization of the United Nations
Root and Branch Review – Final Report

(*) Work planning includes the planning resulting from the PWB/AWP exercise and any other process that identifies need for new or revised position

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HR Job Design – Sub-process HR.J.2
Creation of non-standard Job Profile (in exceptional cases)

INPUT	ACTIVITIES	OUTPUT

Depts. / Indep. Off.

HR.J.1

Need for non standard job profile

Provide information to AFHE on duties, responsibilities, competencies and content

Review draft job profile

Confirm availability of fund by Budget Holder

Approve position action request (Director's Division or ADGs/Head Indep. Offices)

AFHE

Competency Framework

Generic Job Profile Library

Evaluate need of non standard job profile (e.g. for specific project)?

yes → Draft and classify new non standard job profile

Finalize non standard job profile

HR.J.1

no → HR.J.3

AFHD

Receive finalized non standard job profile for information

HR Job Design – Sub-process HR.J.3
Maintenance Job Profile / Competency Framework

Food and Agriculture Organization of the United Nations
Root and Branch Review – Final Report

(*) Work planning includes the planning resulting from the PWB/AWP exercise and any other process that identifies need for new or revised

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Symbols

Symbol	Description
	Activity performed by a Unit/Division/Department
	Paper document
	Decision point requiring intervention or approval, for which there can only be 2 outcomes (e.g. Yes / no)
	System / Data-base supporting the activity
	Information flow
	Connection to other process
	Terminator
	Separator: represents input and output areas in the flow

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HR Workshops participants *(1/2)*

	PROCESS	DATE	AFH BRANCH RESPONSIBLE	AFH	CUSTOMER	NOT ATTENDED
A	HR Strategy	January 21, 2009	Mr. Nakouzi	Nakouzi, Serge (AFHP) VanHoutte, Annick (AFHL) McInnes, John (AFHP)	Chaperon, Christine (TCDP) Rugabira, Dan (FODP) Deutsch, Werner (ODGX) Montavon, Matthew (AFDP) Billoud, Claire (AFDS) Jacqueson, Patrik (TCER) Gougsa, Yacob (TCDD)	Marchetti, Ugo (OCDO)
B	HR Policy	January 21, 2009	Mr. Nakouzi	Nakouzi, Serge (AFHP) VanHoutte, Annick (AFHL) McInnes, John (AFHP)	Chaperon, Christine (TCDP) Rugabira, Dan (FODP) Deutsch, Werner (ODGX) Montavon, Matthew (AFDP) Billoud, Claire (AFDS) Jacqueson, Patrik (TCER) Gougsa, Yacob (TCDD)	Marchetti, Ugo (OCDO)
C	HR Learning	January 28, 2009	Mr. Breschi	Breschi, Marco (AFHT) Moon, Richard (AFHT)	Crawford, Beth (PBEP) Crosby, Andrea (AGDP) Rugabira, Dan (FODP) Billoud, Claire (AFDS)	Aloisio, AnneAntoinette (AFHT) Lenselink, Noeky (AFHT) Furlani, Livia (AFDS) Montavon, Matthew (AFDP) Gilmozzi, Dario (OCDO) Reid, John (KCTU)
D	HR Performance Mgmt	January 30, 2009	Mr. Breschi	Breschi, Marco (AFHT) Aloisio, AnneAntoinette (AFHT) Lenselink, Noeky (AFHT)	Crawford, Beth (PBEP) Rugabira, Dan (FODP) Valat, Nadine (KCDP) Montavon, Matthew (AFDP) Kneeland, Douglas (FOEL)	Crosby, Andrea (AGDP) Gilmozzi, Dario (OCDO)
E	HR Recruitment	February 24, 2009	Mr. Boliko	Boliko, MbuliCharles (AFHR) Castree, Sarah (AFHR) Went, Janet (AFHR) Jasinski, Helene (AFHE)	Sinaceur, Mustapha (FAOSEC) Mosoti, Victor (ODG) Crosby, Andrea (ADG) Ferraro, Sergio (KCCM)	Roca, Deodoro (FAOSLM) Guerrieri, Fernanda (SEUD) Rugabira, Dan (FOD) Adotevi, Sabine (AFSP) Fletcher, Tony (AFFC) Crawford, Beth (PBEP)

HR Workshop participants *(1/2)*

	PROCESS	DATE	AFH BRANCH RESPONSIBLE	AFH	CUSTOMER	NOT ATTENDED
F	HR Planning	February 18, 2009	Mr. Nakouzi	Nakouzi, Serge (AFHP) DelaGarza, Mayra (AFHP) Went, Janet (AFHR) Jasinski, Helene (AFHE)	Fletcher, Tony (AFFC) Crawford, Beth (PBEP)	
G	HR Staffing	March 03,2009 March 12,2009	Mr. Boliko	Boliko, MbuliCharles (AFHR) Breschi, Marco (AFHT) Jasinski, Helene (AFHE) Nakouzi, Serge (AFHP)		
H	HR Communication	February 20, 2009	Mr. Nakouzi	Breschi, Marco (AFHT) Jasinski, Helene (AFHE) Nakouzi, Serge (AFHP) Mayra De La Garza (AFHP)	Reid, John (KCTU) Crawford, Beth (PBEP) Billoud, Claire (AFDS) Martin, Michael (FOED) Marang Mabengano (AFDS)	Adotevi, Sabine (AFSP) Fletcher, Tony (AFFC) Ferraro, Sergio (KCCM) Armishaw, Ann (AFHD) Gangi, Nabil (AFHS) VanHoutte, Annick (AFHL) Boliko, MbuliCharles (AFHR)
I	HR Career Development	February 26, 2009	Mr. Breschi	Boliko, MbuliCharles (AFHR) Breschi, Marco (AFHT) Jasinski, Helene (AFHE) Nakouzi, Serge (AFHP) DelaGarza, Mayra (AFHP)	Billoud, Claire (AFDS) Ferraro, Sergio (KCCM)	Guerrieri, Fernanda (SEUD) Sinaceur, Mustapha (FAOSEC) Adotevi, Sabine (AFSP) Fletcher, Tony (AFFC) Crawford, Beth (PBEP) Reid, John (KCTU) Gangi, Nabil (AFHS) VanHoutte, Annick (AFHL)
J	HR Job Design	February 27, 2009	Ms. Jasinski	Jasinski, Helene (AFHE) Zhamierashvili, Andi (AFHE) Armishaw, Ann (AFHD) Charles Boliko (AFHR)	Billoud, Claire (AFDS) Furlani, Livia (AFDS) Fletcher, Tony (AFFC)	Nakata, Tetsuji (FAORAP) Alaka, Abisola (FAORAF) Crosby, Andrea (AFDP) Rugabira, Dan (FODP) McIlwaine, Ann (AFHE) Leone, Bruno (AFHR) Aloisio, AnneAntoinette (AFHT)
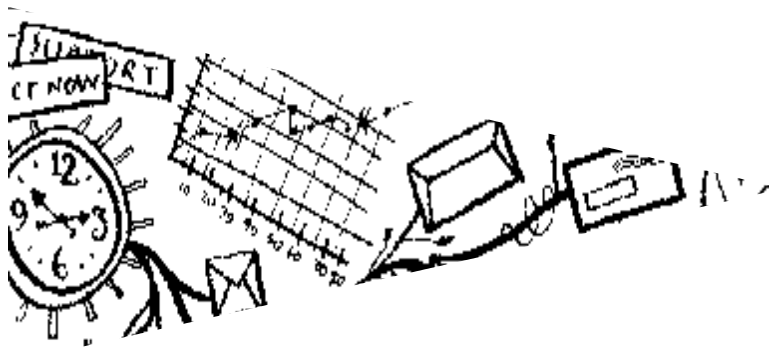
Work-stream Other Administrative Services: Annex

Annex R: Translation and Travel Services

Translation Service
Workflow Management Process (As-Is)

Translation Services – Workflow management

| Input | Activities |

Customer
- Pre-Session
- In-Session
- In-Session
- Non-Meeting

External translation

no

KCCM

Job possible — yes → Document Workflow → Job check-in and charging → AS.T.2

Document Workflow: Design, coordination and management

Job check-in and charging: E-DPR check, coordination of languages
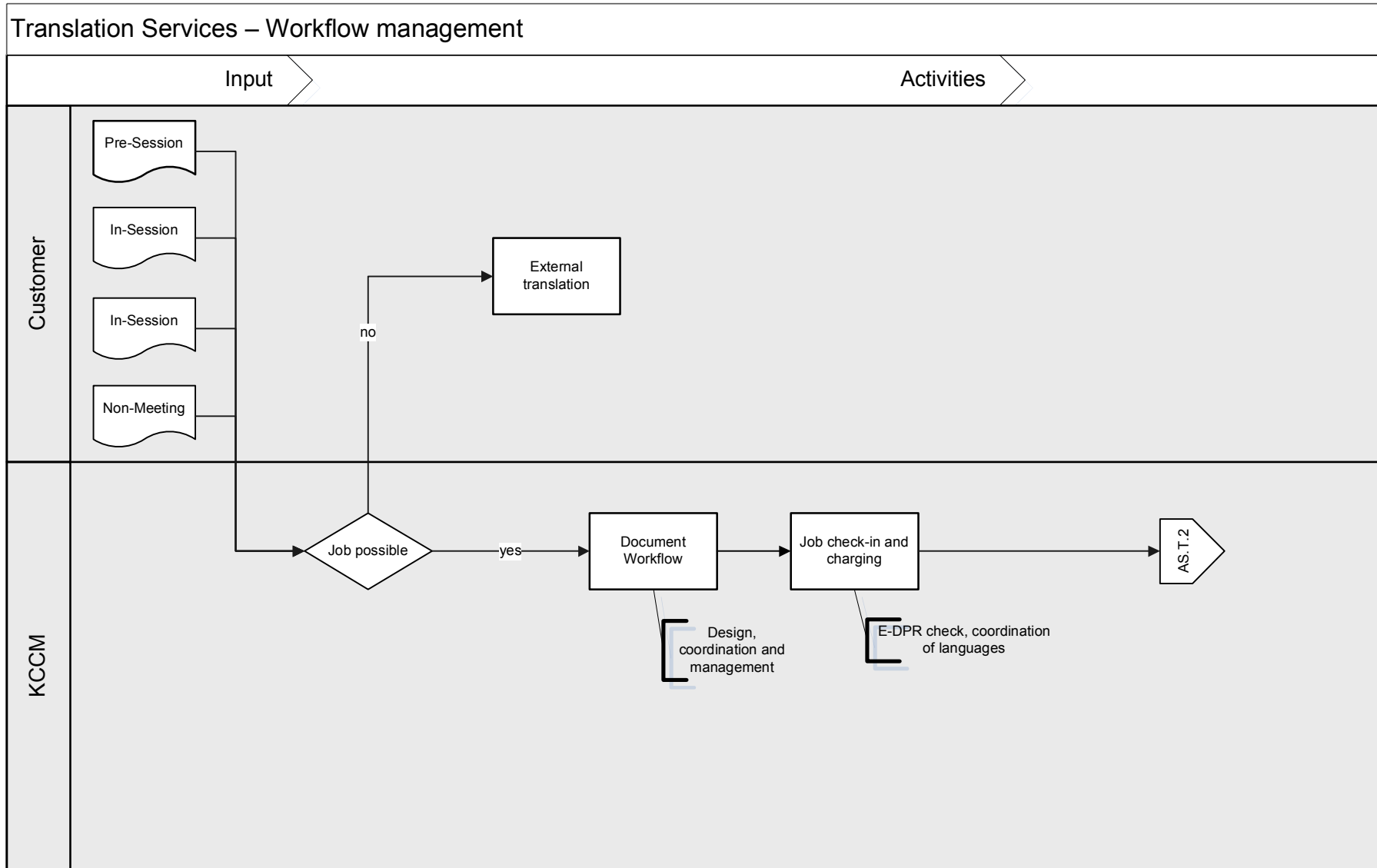
Translation Service
Linguistic Preparation Process (As-Is)

Translation Services – Linguistic preparation

Input — Activities

Customer

KCCM

AS.T.1 → Reference & Terminology → English, Spanish, French translation → Workload Planning → Management of translation → AS.T.3

- pre-processing of documents to be translated with CAT Tools and manual reference work
- maintenance and update of internal and external language resources
- preparation of R&T packages for meetings
- testing and implementation of new CAT technology
- management of freelance translator rosters for each of 8 languages (in coordination with TGs)
- management of user registration for CAT tools use

Arabic, Chinese, Russian, Italian translation → Workload Planning → Document workflow → Terminology extraction & Pre-translation

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Translation Service
Translation Process (As-Is)

Translation Services – Translation

Input | Activities

Customer

KCCM
- A.S.T.2 → Internal translation → A.S.T.4a

External translator
- External translation → A.S.T.4b
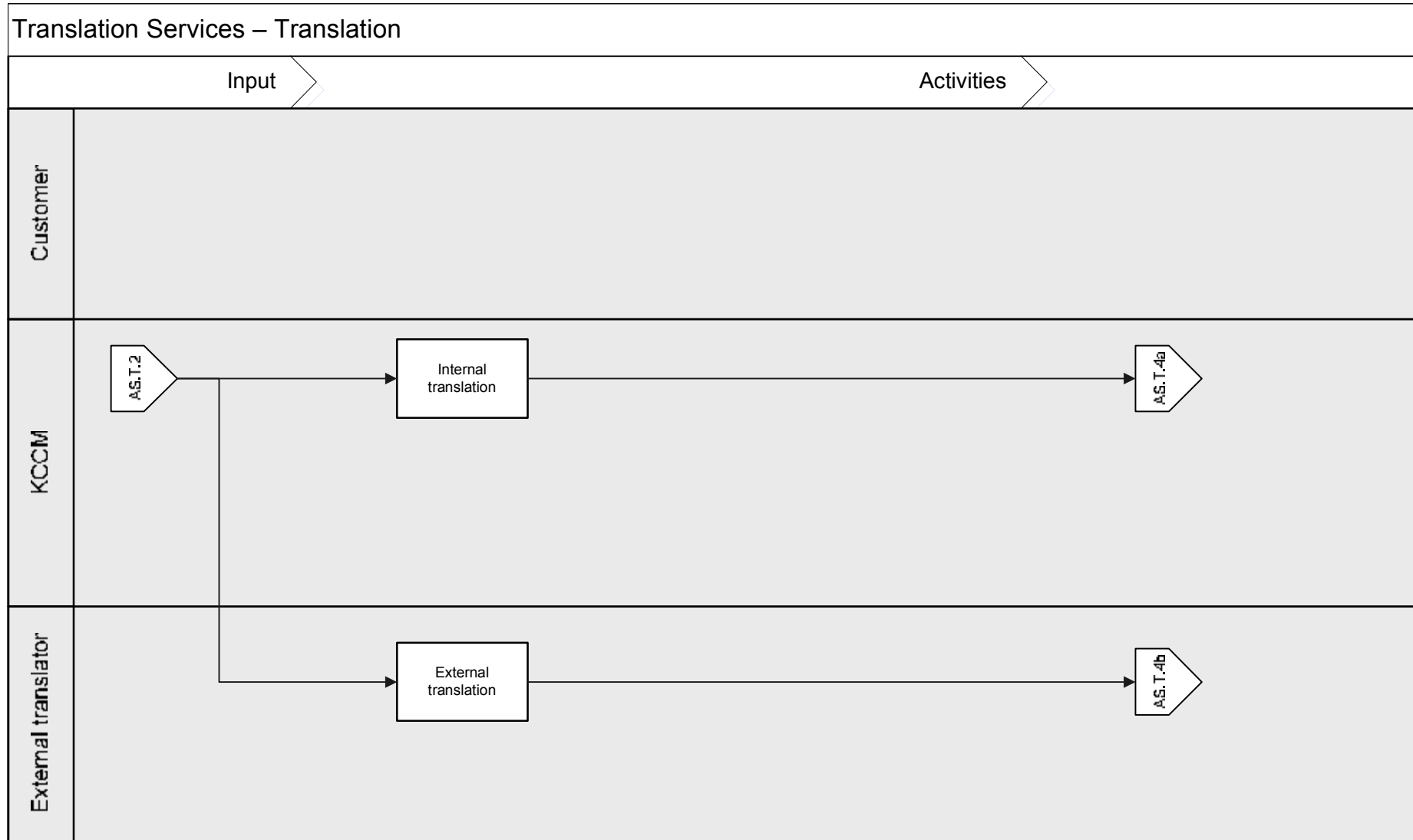
Translation Service
Revision Process (As-Is)

Translation Services – Revision

	Input	Activities
Customer		
KCCM	AS.T.3a → Self-revision of translator → Revision of Document → Proofreading	
External translator	AS.T.3b → Self-revision of external translator	
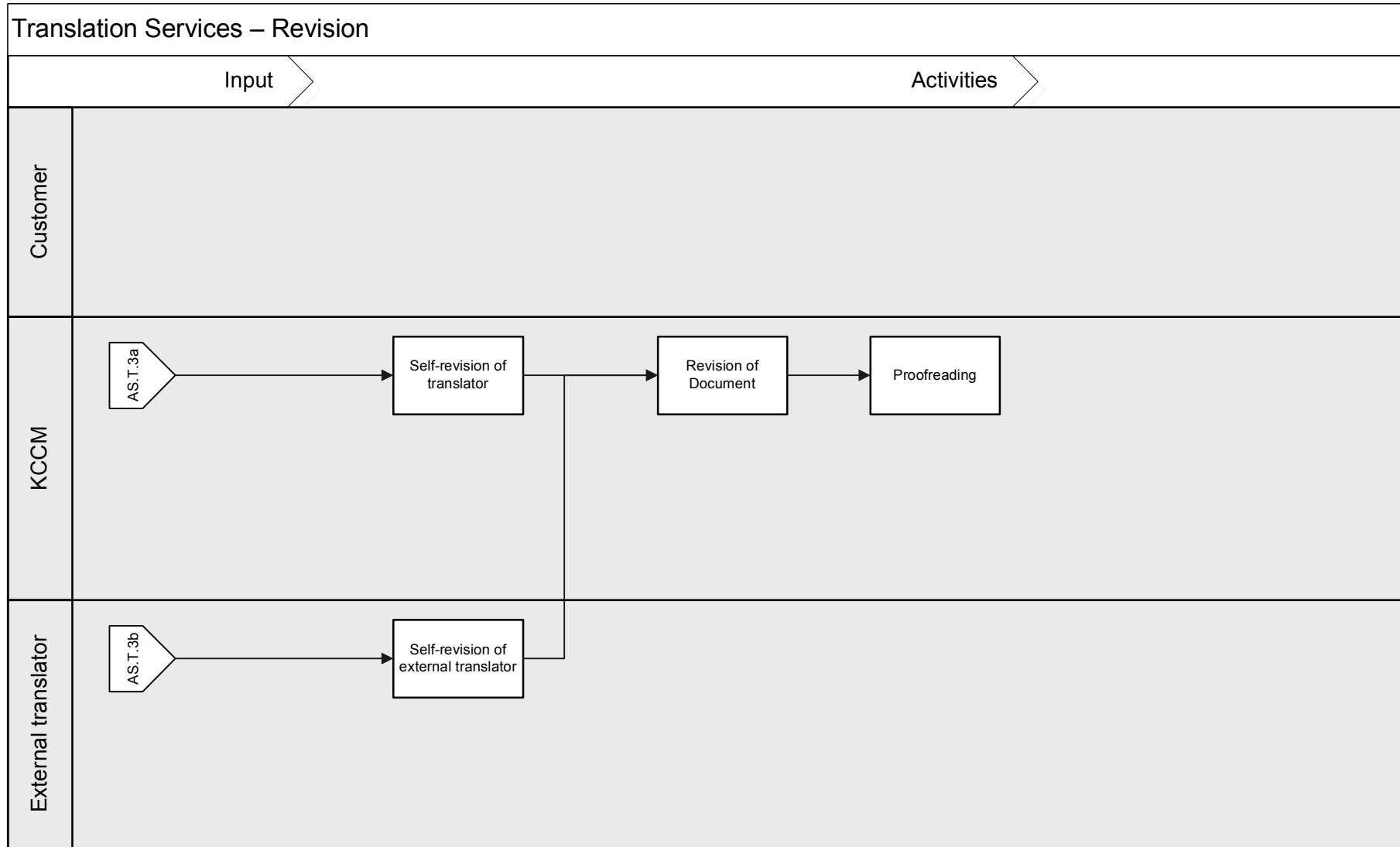
Translation Service
Roster Management Process (To-Be)
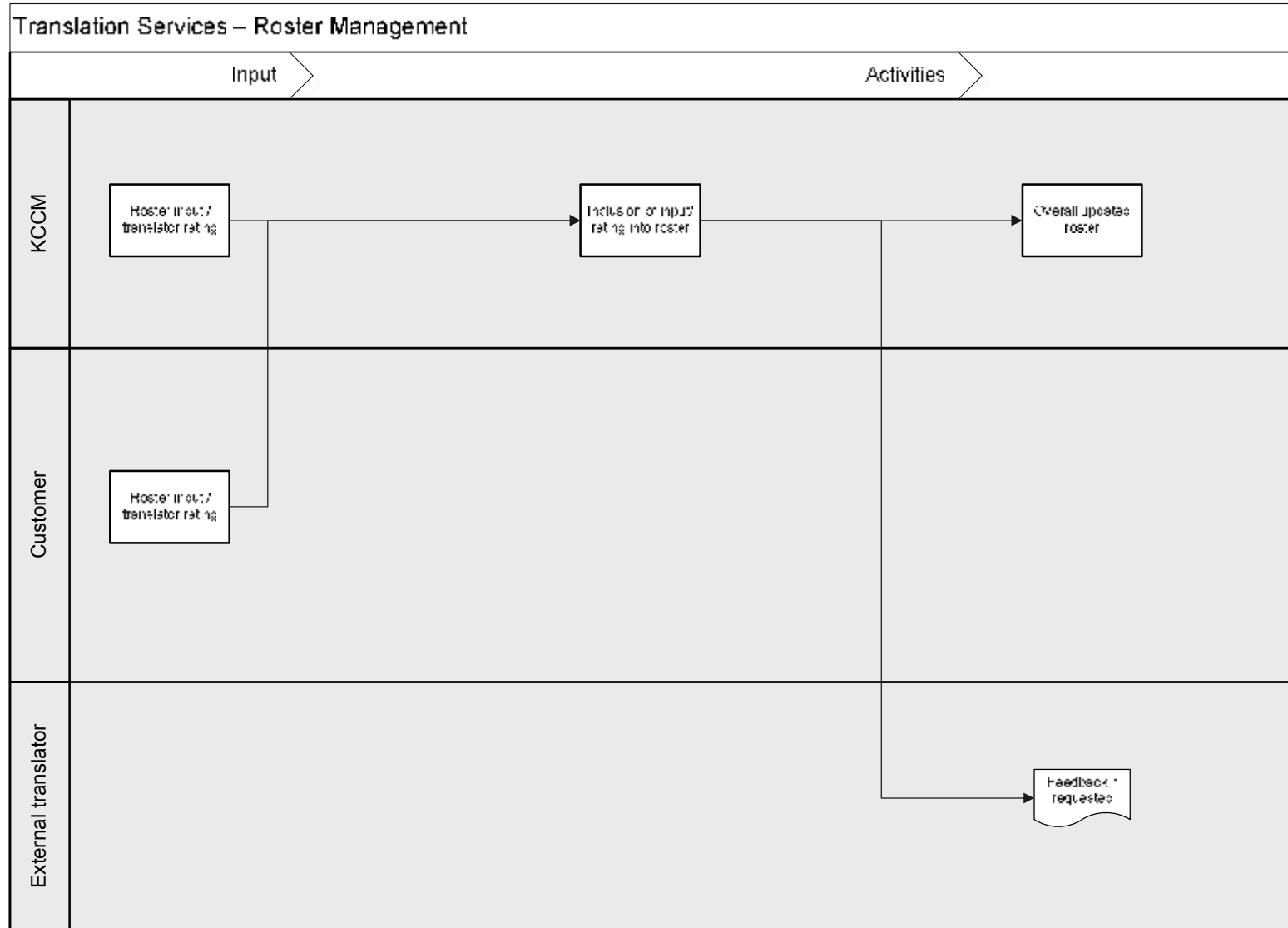
Translation Service
Terminology Management Process (To-Be)
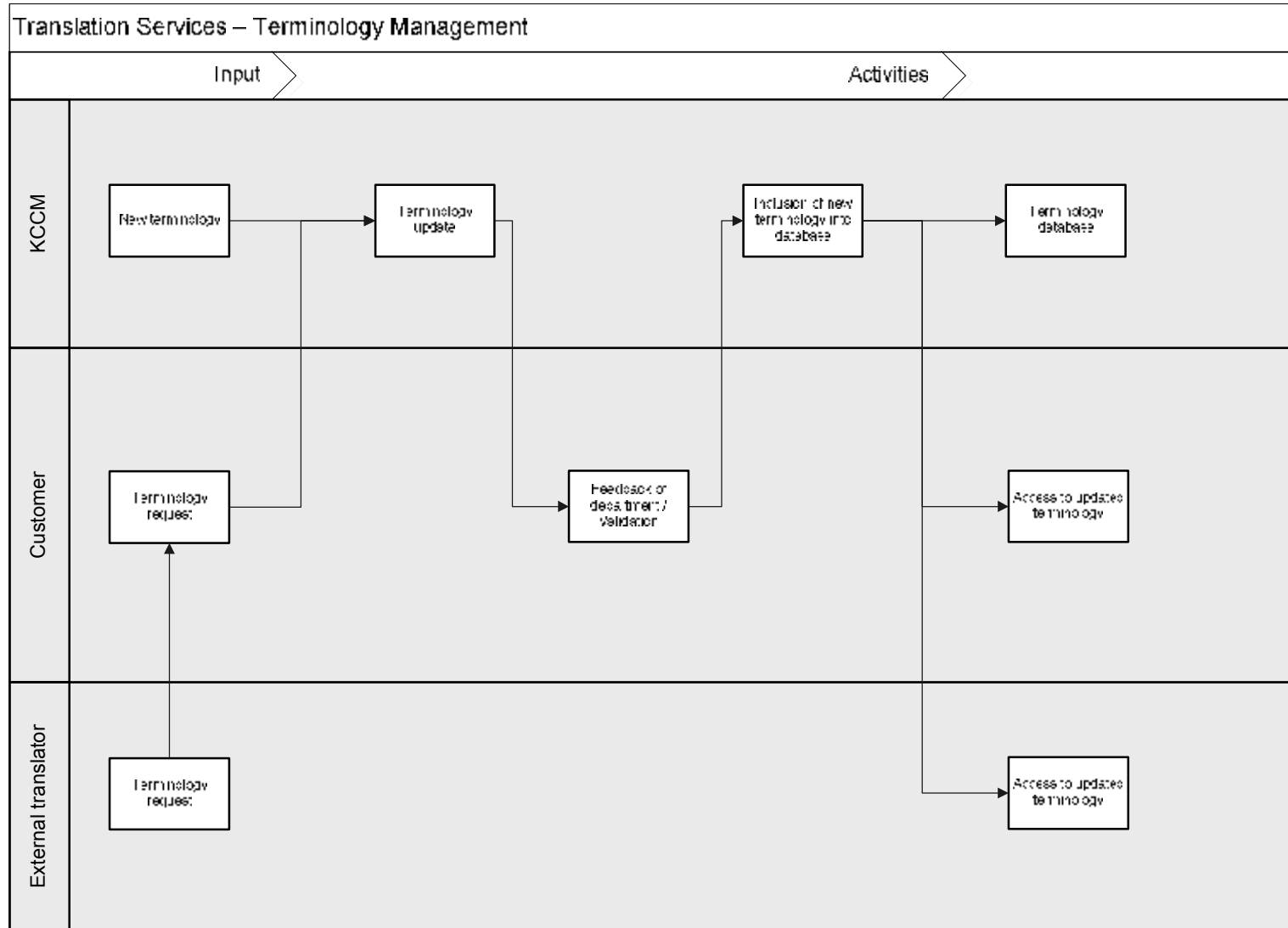
Translation Service
Revision & Quality Assurance Process (To-Be)
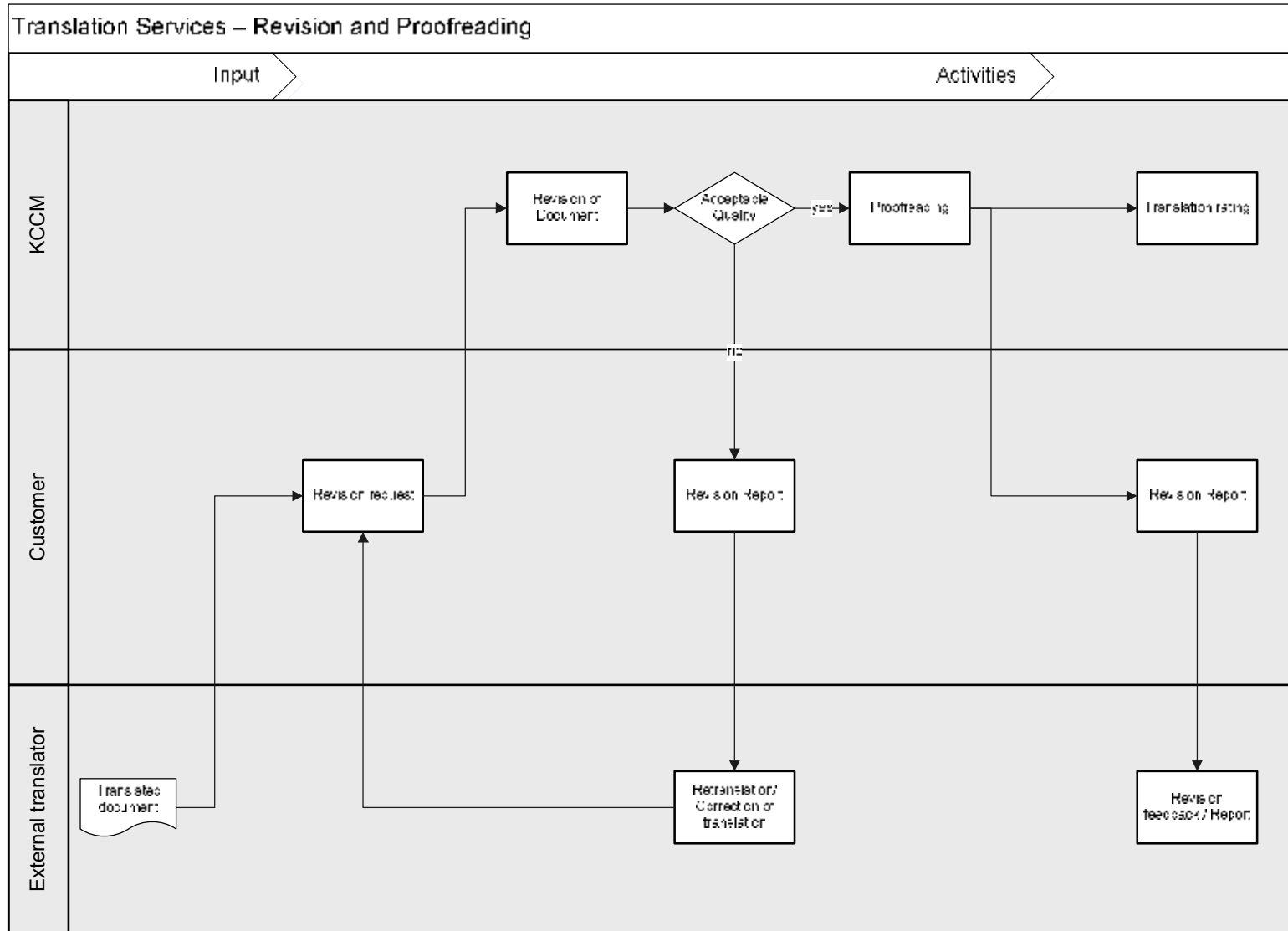
Translation Service
Year-End Result 2008

January - December 2008

ACTUAL COSTS (USD)	Grade	A	C	E	F	S	RU	OT	Cm	Arabic	Chinese	English	French	Spanish	Russian	Other	Common	Total
Senior Reviser	P-5	0.08			1.0	1.0				-	18'152	-	217'824	217'824	-	-	-	453'800
Reviser	P-4	0.25	1.0	0.75	1.75	2.0		0.25		47'397	189'588	142'191	345'471	379'176	-	47'397	-	1'151'220
Translator / Reviser	P-3	0.75	1.0		1.0	1.0				115'560	154'080	-	18'832	154'080	-	-	-	442'552
Workflow Officer/Translator	P-2		0.5			1.0				-	65'622	-	-	131'244	-	-	-	196'866
Workflow Officer	P-1	0.5								22'404	-	-	-	-	-	-	-	22'404
Documents Clerk	G-5		1.0		1.0					-	108'456	-	108'456	63'266	-	-	-	280'178
Typist/Proofreader	G-4	2.0	3.0	1.0	3.0	3.0			1.0	232'680	279'216	93'072	279'216	279'216	-	-	93'072	1'256'472
Layout/typist	G-3	1.0			1.0					82'642	-	-	81'036	-	-	-	-	163'678
Information Technology Clerk	G-4							0.7		-	-	-	-	-	-	-	65'150	65'150
Secondments KCCM										-19'338	-	-	-75'225	-62'900	-	-	-	157'463
Total Staff costs										**481'346**	**815'114**	**235'263**	**975'610**	**1'161'906**	**-**	**47'397**	**158'222**	**3'874'858**
External Training																	3'260	3'260
Training																	12'330	12'330
Overtime										14'812	3'545		3'874	6'623				28'854
Travel											198		490	11'772	125		1'897	14'482
Expendable procurement										110	625		272					1'007
Non-expendable procurement										745	3'079		2'560	6'309			9'632	22'325
General Overhead expenses										2'472	2'178	535	2'058	28	175		5'529	12'975
General Operating Expenses											456		467	1'589				2'512
Temporary assistance (loc)										124'895			8'320	3'365	13'020			149'600
Temporary assistance (int)										18'351	-6'553		20'057		37'114			
Total Pool Costs (exc. outsourcing)										**642'731**	**818'642**	**235'798**	**1'013'708**	**1'191'592**	**50'433**	**47'397**	**190'870**	**4'122'203**
OUTSOURCING																		
Total inc. temp. assist.										455'649	119'899	8'279	423'396	166'989	190'921	12'677		
Pos to be closed																		
Freelancers										330'753	119'899	8'279	415'076	163'624	177'901	12'677	1'690	1'229'899
TOTAL EXPENDITURES (USD)										**973'485**	**938'541**	**244'077**	**1'428'784**	**1'355'216**	**228'334**	**60'074**	**192'560**	**5'421'071**

Production words - Jobs backcharged	Arabic	Chinese	English	French	Spanish	Russian	Other	Common	Total
Meeting documentation (a)	1'691'879	1'420'209	180'549	2'045'538	1'837'380	700'187	-		7'875'741
Non-Meeting docs (Publications) (b)	223'275	222'975	850	316'925	316'925	222'100	1'950		1'305'000
Other Categories (Letters, VAs, TM, ..) (c)	237'600	153'225	158'750	389'100	276'400	117'450	80'250		1'412'775
Total	2'152'754	1'796'409	340'149	2'751'563	2'430'705	1'039'737	82'200		10'593'516
(%) compared to Business plan									
Meeting documentation (a)	98%	92%	226%	99%	98%	311%			105%
Non-Meeting docs (Publications) (b)	191%	191%	11%	190%	190%	222%			194%
Other Categories (Letters, VAs, TM, ..) (c)	59%	52%	99%	97%	69%		64%		79%
Total	96%	92%	137%	104%	100%	320%	66%		106%

Income - Jobs completed	Arabic	Chinese	English	French	Spanish	Russian	Other	Common	Total
January	86'744	65'063	14'728	127'012	90'766	65'966	-		450'280
February	78'827	53'714	8'486	108'662	75'683	5'571	-		330'943
March	69'868	50'206	15'483	58'393	54'494	18'613	1'647		268'704
April	60'557	41'621	21'627	93'656	90'637	9'277			317'376
May	181'729	147'665	5'243	189'394	175'875	15'205	289		715'400
June	102'173	70'180	8'497	162'922	155'227	60'163	165		559'327
July	67'515	66'545	5'793	100'832	82'059	19'461	1'977		344'183
August	52'642	45'702	7'544	58'351	64'574	28'221	78		257'111
September	196'591	170'074	11'674	210'558	207'453	103'049	5'317		904'715
October	68'591	64'008	31'646	110'349	103'397	46'416	9'140		433'547
November	88'226	81'378	15'653	112'275	94'190	87'926	6'500		486'147
December	114'228	98'165	11'974	137'485	122'758	82'619	4'118		571'347
(e) Total Income USD	**1'167'691**	**954'323**	**158'348**	**1'469'889**	**1'317'114**	**542'486**	**29'228**		**5'639'078**
(%) compared to Business plan	**100%**	**94%**	**155%**	**105%**	**102%**	**286%**	**82%**		**108%**
Difference income - expenditures	**194'206**	**15'782**	**-85'729**	**41'104**	**-38'102**	**314'152**	**-30'845**	**-192'560**	**218'007**

Translation Service Evaluation (I)

► Two thirds of the questionnaire replies were send by HQ staff.

- Technical Officer
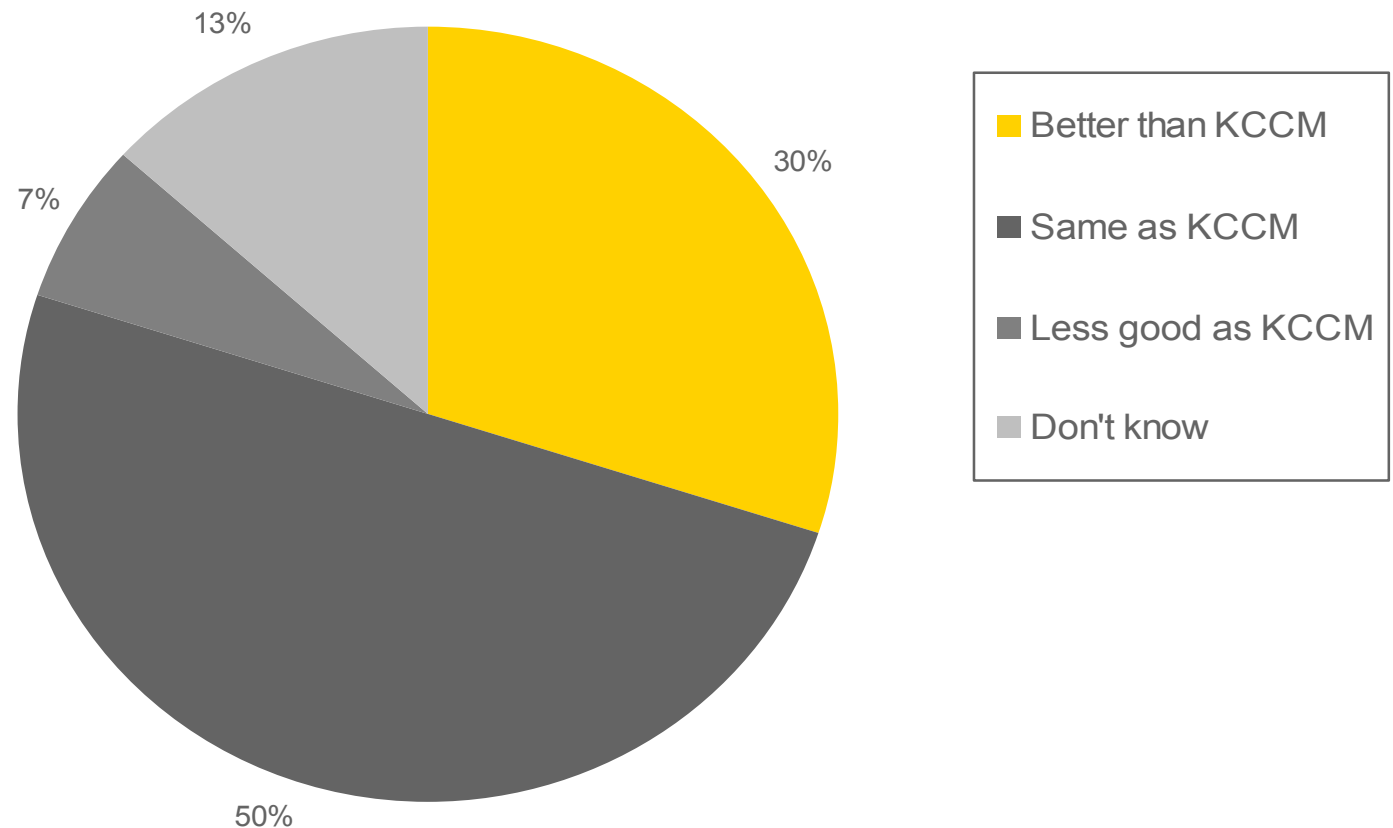- Budget Holder
- Director - Branch / Service Chief
- Clerical

58%
23%
16%
3%
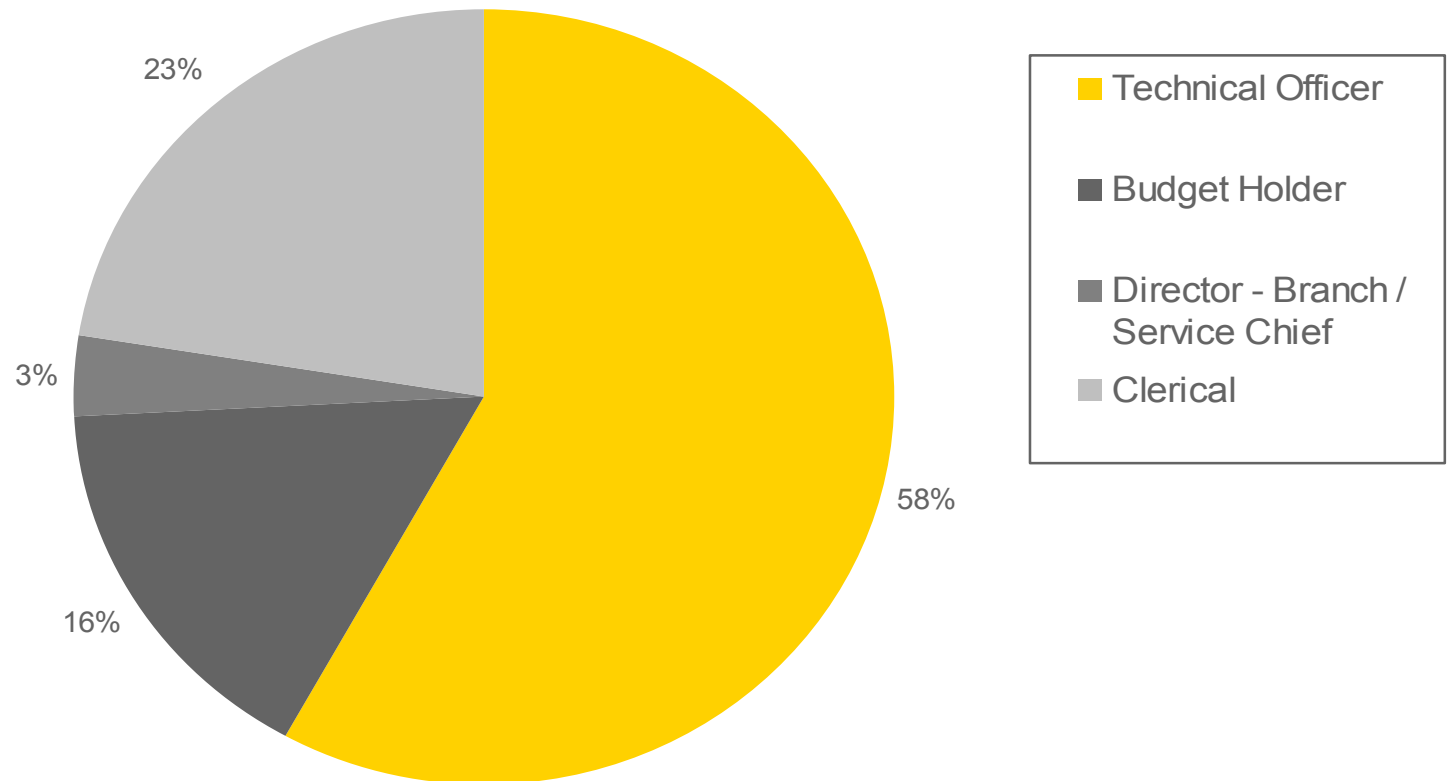
Translation Service Evaluation (II)

► 48% of the translation request need to be handled within one week or even less.

Legend:
- 1-2 days
- 1 week
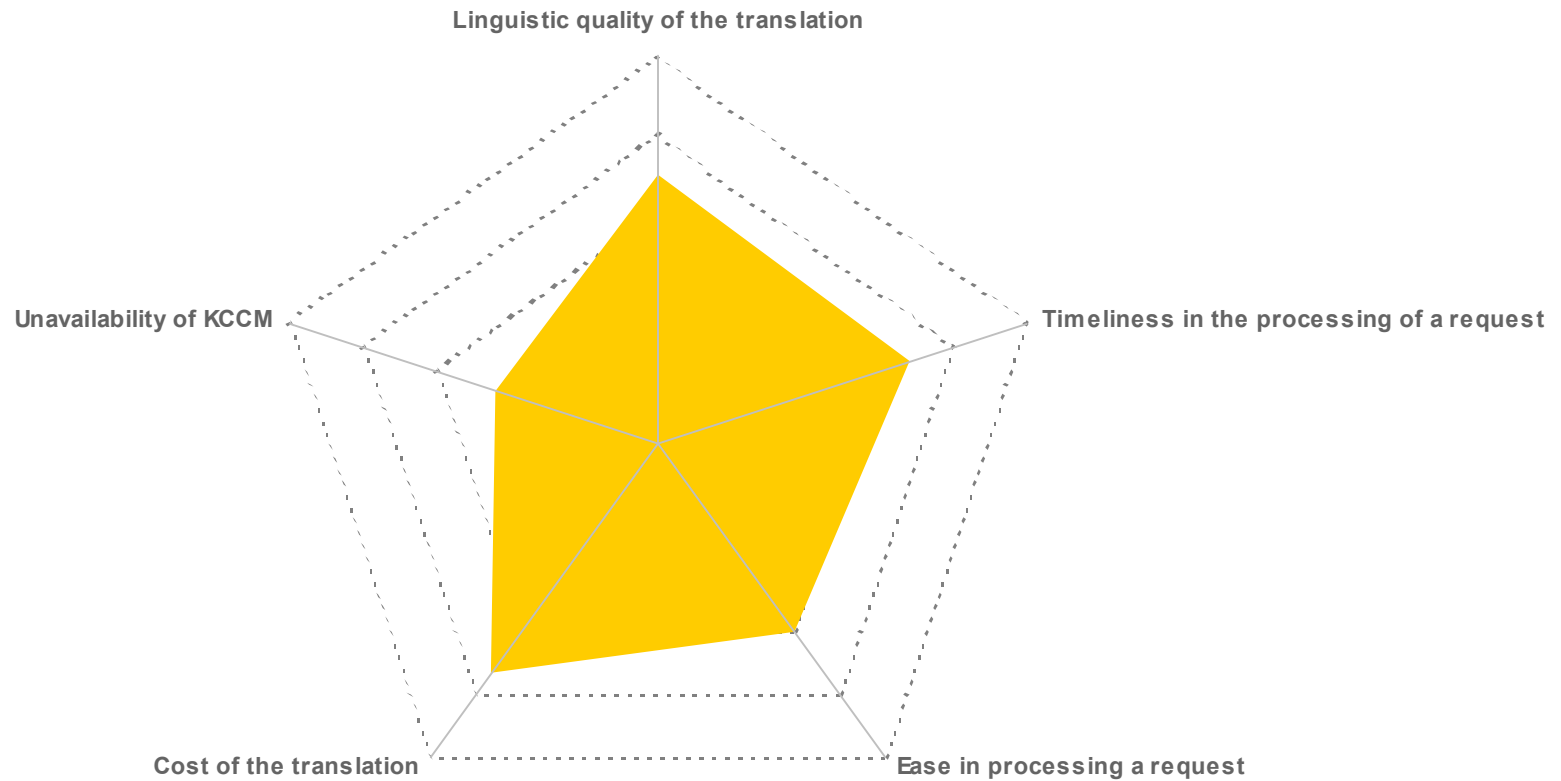- 2 weeks
- 3-4 weeks
- 1 month

Pie chart values: 16%, 32%, 13%, 29%, 10%
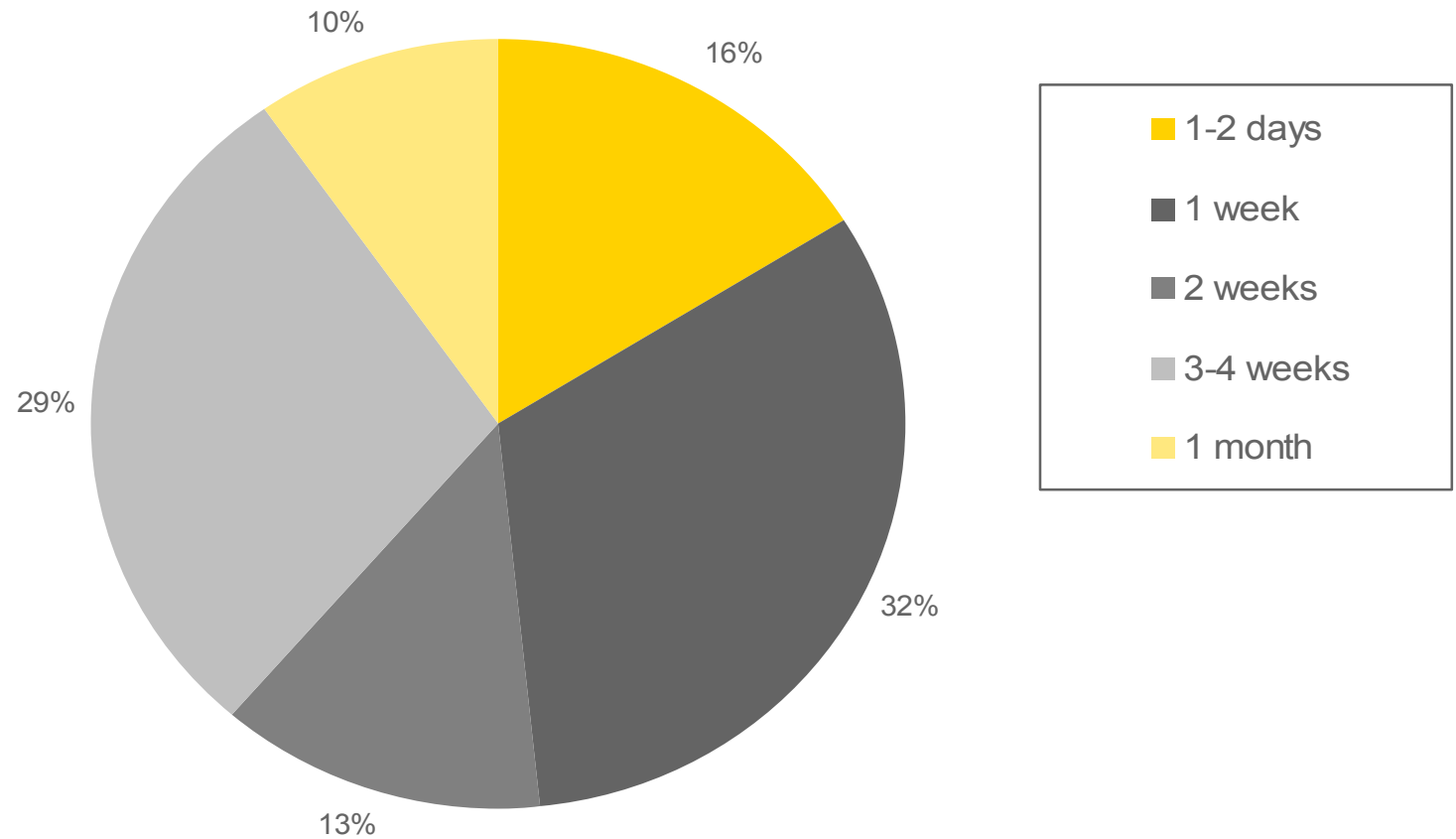
Translation Service Evaluation (III)

► 50% of the repliers indicated that external translators provide the same quality of service as KCCM, 30% even replied the service quality of external translators would be better than KCCM

13%

30%

7%

50%

Legend:
- Better than KCCM
- Same as KCCM
- Less good as KCCM
- Don't know

Translation Service Evaluation (IV)

Linguistic quality of the translation

Timeliness in the processing of a request

Ease in processing a request

Cost of the translation

Unavailability of KCCM

Translation Service Evaluation (V)

Most of the departments review the received translated documents, no matter if translated by KCCM or external translators
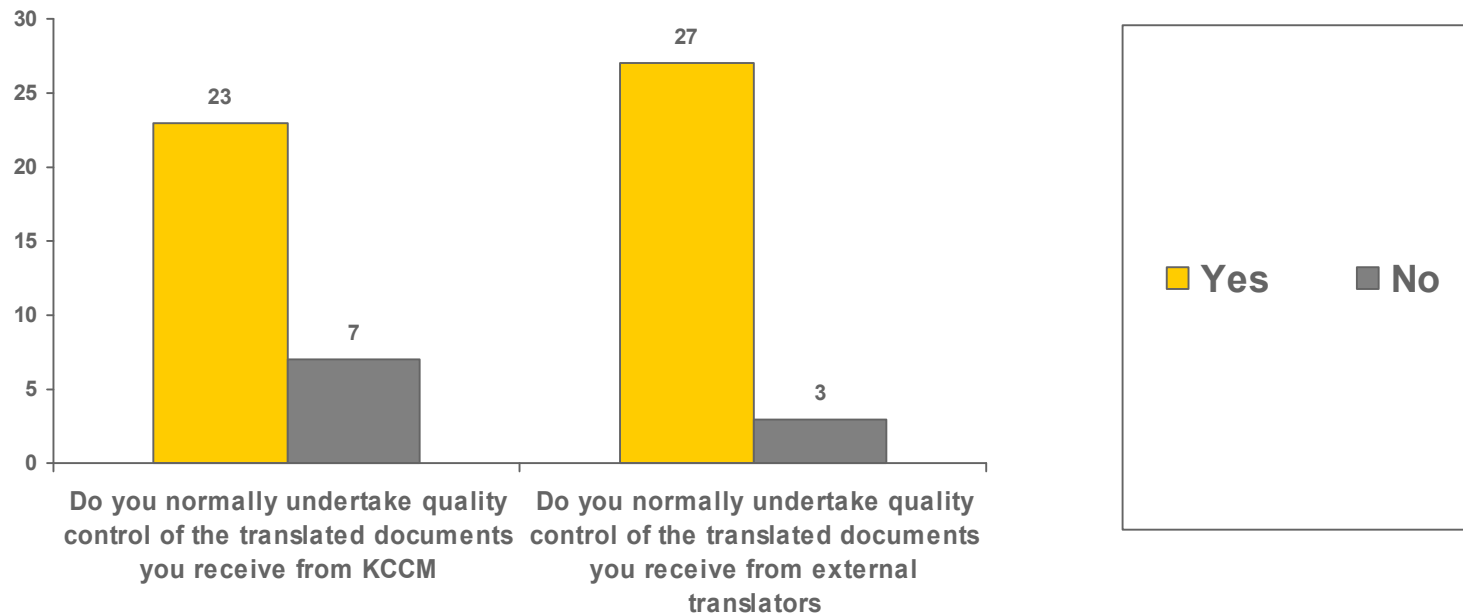
Translation Service Evaluation (VI)

Distribution of task in the Translation Service

► 40% of the work done by KCCM is related to translation
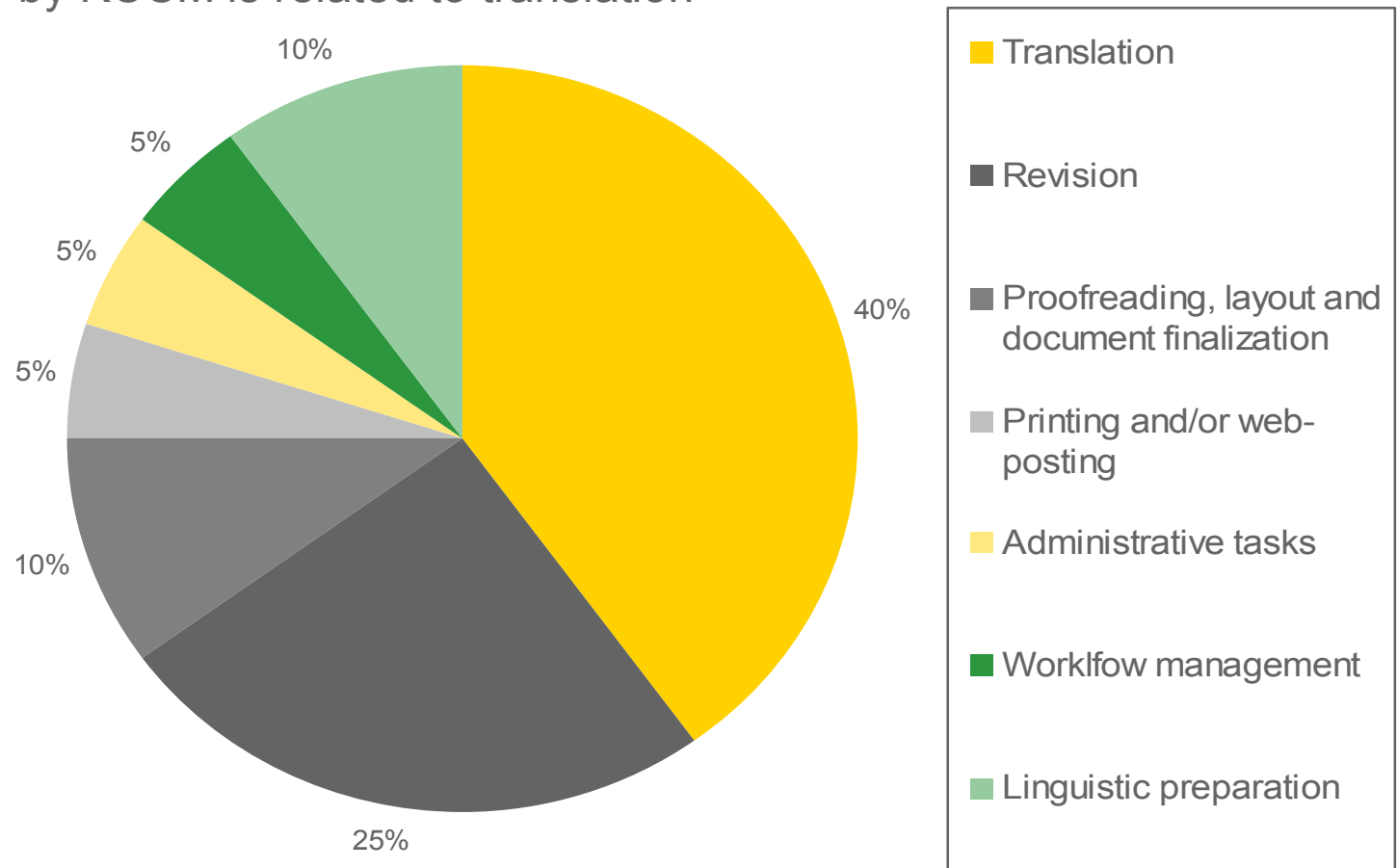
Travel Processes
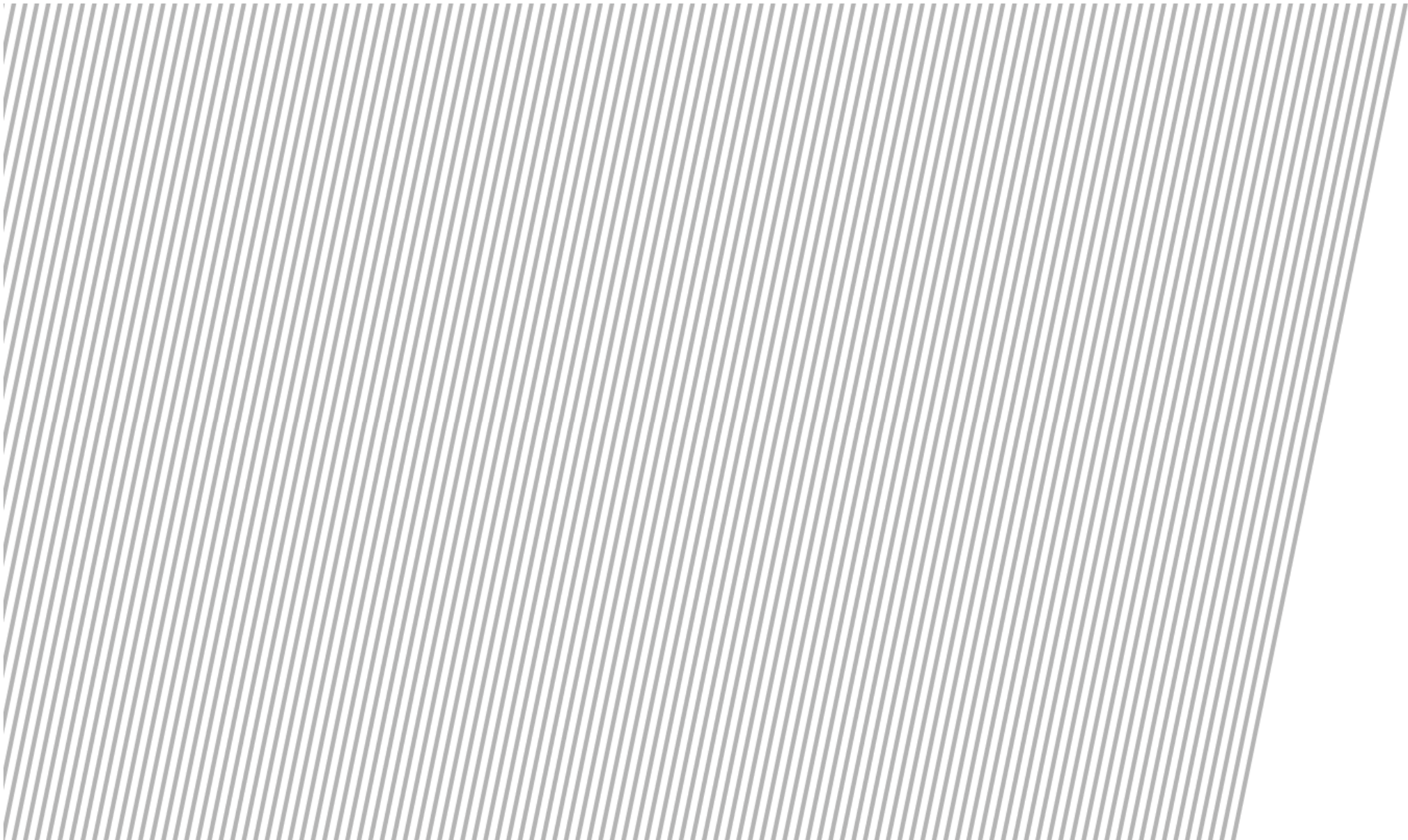
Travel Service
Duty Travel (As-Is)
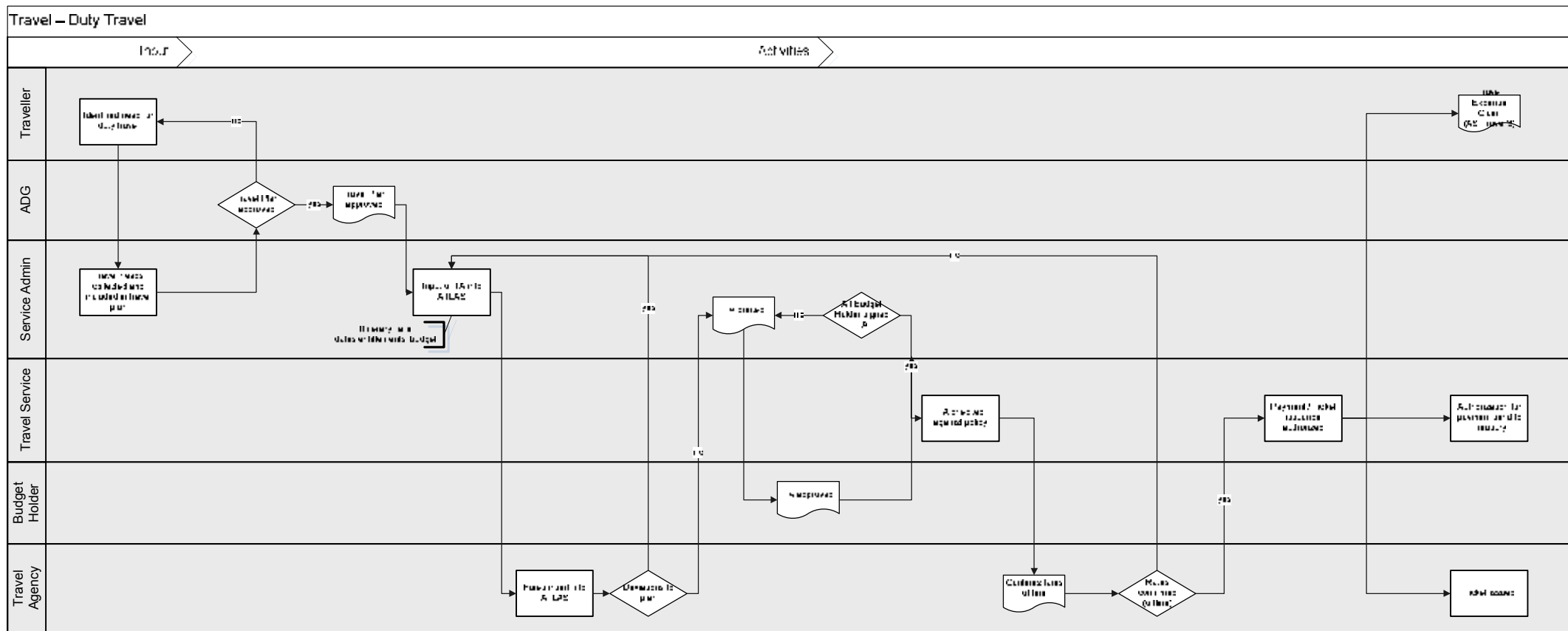
Travel Service
Entitlement Travel (As-Is)

Travel – Entitlement Travel

Input | Activities

Traveller
- Entitlement travel identified
- Applicable option chosen (Lump-sum / Travel)

Personnel Officer
- Checked against MS and HRMS data
- Lump-sum authorized
- Travel authorized

Travel Service
- TA in Atlas prepared incl. add. entitlements for travel
- IATA fare requested for lump-sum
- Authoization of TA requested
- Lump-sum calculated and authorization requested
- Issuance of ticket authorized
- Payment authoized

Travel Agency
- Fare, initiaries and dates confirmed
- IATA fare provided
- Ticket issued

Treasury
- Payment to traveler

Travel Service
Travel Expense Claim (As-Is)
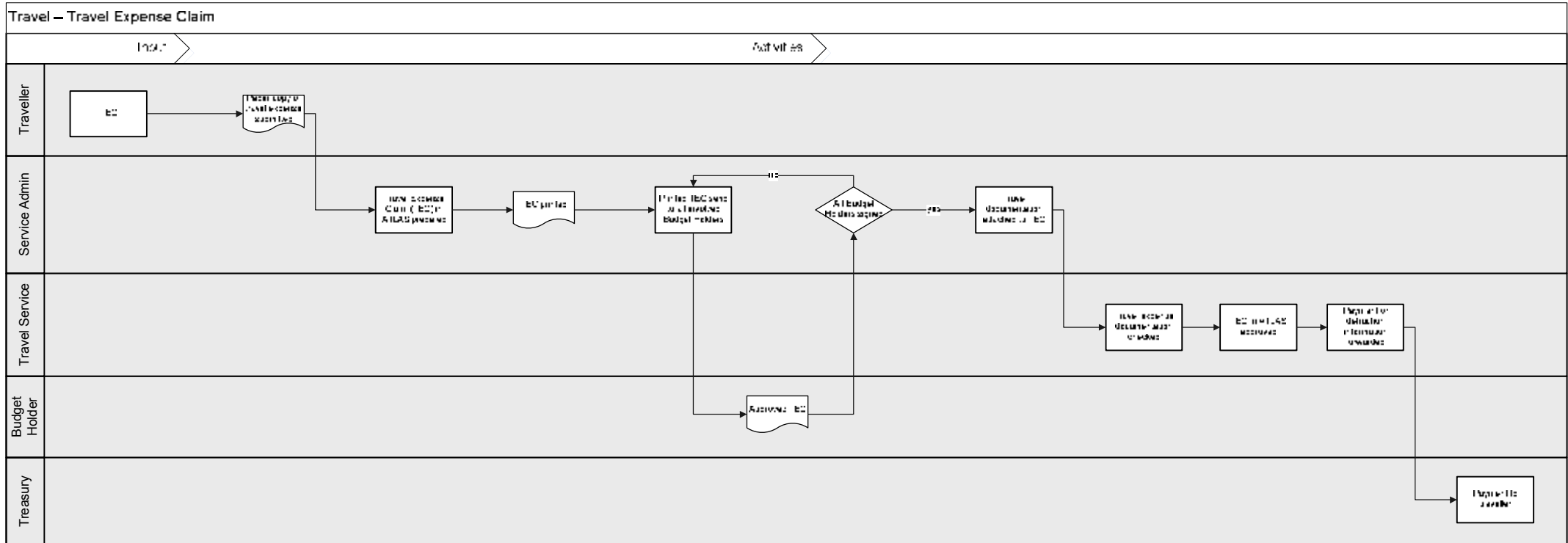
Travel Service
Duty Travel (To-Be)

Travel – Duty Travel

	Input	Activities

Traveller
- Identified need for duty travel
- Travel Expense Claim (AS.Travel.3)

ADG
- Travel Plan approved

Service Admin
- Travel needs collected and included in travel plan
- Fare estimations requested
- Input into Travel Plan
  - Itinerary, fare estimation +/-25%, dates, entitlements, budget
- Approval of Budget Holder requested by email
- Policy check & Travel Plan approval of ADG requested
- TA in ATLAS prepared

Travel Service
- Checked TA against policy
- Travel authorized
- Authorization for payment send to Treasury

Budget Holder
- Travel approved

Travel Agency
- Fare estimations provided
- Insert fares into ATLAS confirmed dates
- Ticket issued

Travel Service
Entitlement Travel (To-Be)

Travel
Advance booking overview

► FAO spent from **April until December 2008** (9 months) around **9,9 million EUR** on air fares.

► 42% of the tickets were booked less than 14 days prior to departure

► 23% of which were booked less than 7 days prior to departure

Overall Total	
Tickets used	**Paid fare**
7'667	9'948'597

0 days prior departure			1 days prior departure			2 days prior departure			3-4 days prior departure		
Tickets used	Paid fare	%*	Tickets used	Paid fare	%*	Tickets used	Paid fare	%*	Tickets used	Paid fare	%*
61	65'065	1%	129	142'363	2%	184	235'983	2%	506	643'797	7%

5-7 days prior departure			8-13 days prior departure			14-20 days prior departure			21 + days prior departure		
Tickets used	Paid fare	%*	Tickets used	Paid fare	%*	Tickets used	Paid fare	%*	Tickets used	Paid fare	%*
865	1'069'776	11%	1'442	1'957'077	19%	1'241	1'642'860	16%	3'239	4'191'677	42%

*: Percentage of tickets used compared to the overall total of tickets used

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Advance booking opportunity (I)

A study published by Carlson Wagonlit Travel (CWT) outlined that it would be possible to save through advance booking around **2% per day of the ticket price within the first 14 days prior to departure***.

► The formula used for the calculation is therefore: $x * (1-y/100)^n$

  ► X = The volume to be shifted

  ► y = The percentage per day, in this case 2%

  ► n = The number of days to be shifted

► Taking into consideration that FAO is developing quarterly travel plans, it would give FAO the advantage to highly benefit from advance bookings provided travel plans meet three key criteria:

  ► the approval of the travel plan is the basis for issuing the TA/Ticket

  ► the approval of the travel plan occurs within 15 days maximum from submission

  ► the travel plan includes foreseeable trips above the monthly or quarterly period

* CWT, Playing by the Rules: Optimizing Travel Policy and Compliance, Page 19

Travel Service
Advance booking calculation

Advance booking (days)	Amount paid (EUR)	Amount paid with advance booking time of 14 days (EUR)
0	65'065	49'035
1	142'363	109'480
2	235'983	185'179
3-4	643'797	526'029
5-7	1'069'776	928'700
8-13	1'957'077	1'841'985
14-20	1'642'860	1'642'860
21+	4'191'677	4'191'677
TOTAL (EUR)	9'948'597	9'474'946
TOTAL (USD)	13'530'092	12'885'927
TOTAL 12 month (extrapolated)	18'040'123	17'181'236
Difference / Saving (USD)		858'887

Travel Service
Reduction cost through advance booking of 14 days
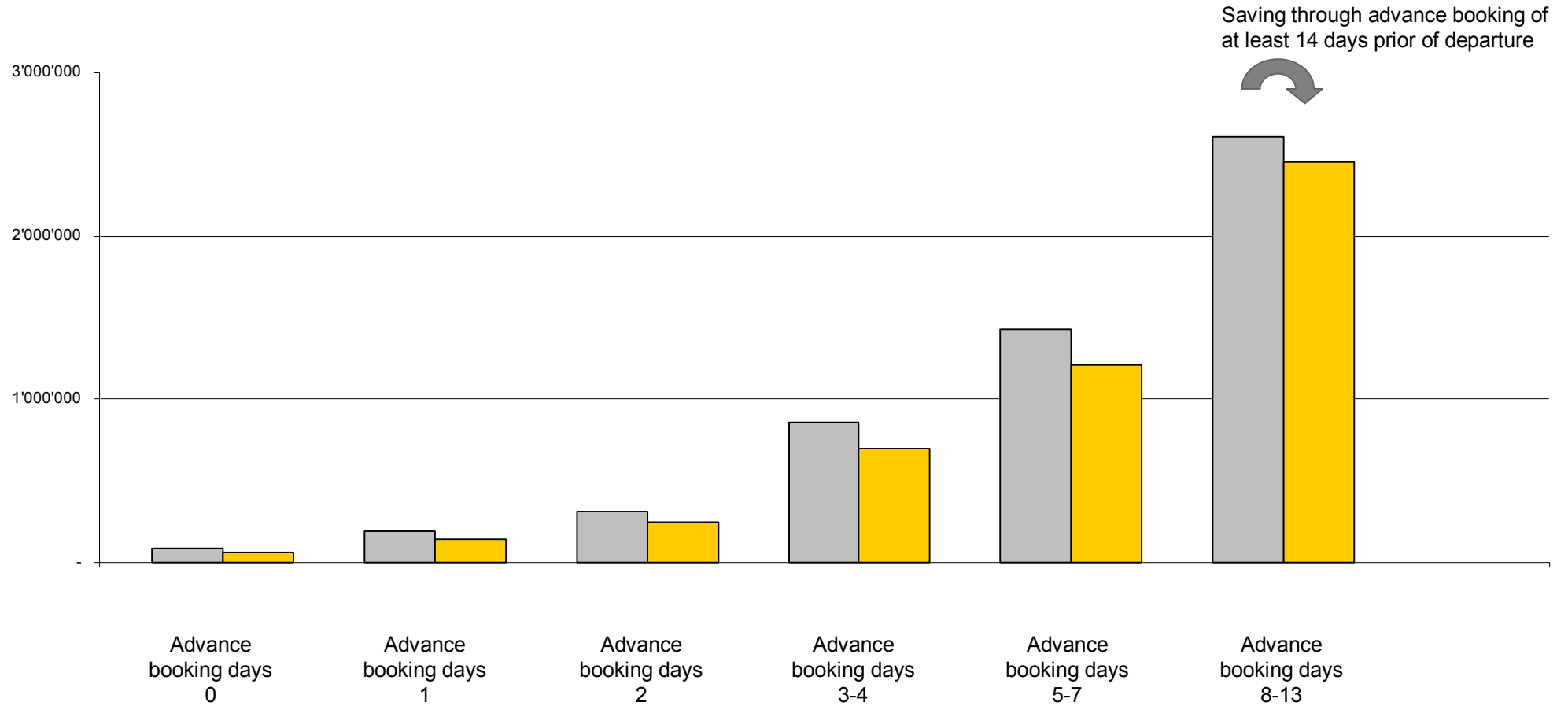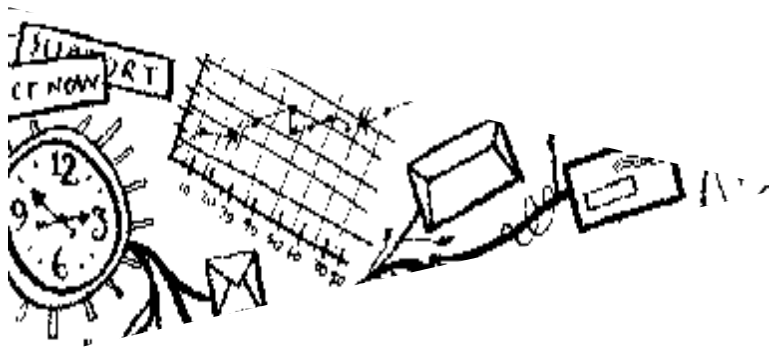
General Information

Annex S: Investments / Costs / Savings

	Stage 1							EVALUATION CRITERIAS				Stage 2							
	Investment			Recurrent cost			Recurrent Savings						Investment			Recurrent cost			Recurrent Savings	
N.	Initiative Stage 1	Initiative Stage 2	2009	2010-11 (ann.)	Total	2009	2010-11 (ann.)	2010-11 (ann.)	2012-13 (ann.)	Category of investment	Comment	Investment level	Savings/year	2009	2010-11 (ann.)	Total	2009	2010-11 (ann.)	2009	2010-11 (ann.)	2012-13 (ann.)
1	Selection and prioritization of ... initiatives	Not in scope of the RBR, as included in the overall PA	200	600	800	0	0	400	400	One time	YES	Low	55	N/A	N/A	N/A	N/A	N/A	N/A	N/A
2	Align the objectives of the support functions with the strategic objectives...	Converted into one of the Value Drivers to promote the reform process (effectiveness gain)	200	500	600	0	0	0	400	One time		Medium	55	N/A	N/A	N/A	N/A	N/A	N/A	N/A
3	Rationalize the set of policies and procedures of the FAO organization (manual)	This initiative has been followed in the various work streams...	0	0	0		500	400		Ongoing		Medium	55	N/A	N/A	N/A	N/A	N/A	N/A	N/A
4	A Regulatory Unit need to be established	This recommendation has been further outlined in stage 2...	0	0	0		500	200		Ongoing		Low	5	N/A	N/A	N/A	N/A	N/A	N/A	N/A
5	Re-define the role of the CIO with respect to administrative activities	Not pursued because the management intent to focus on Corporate Services...	200	0	200			200	300	One time	YES	Low	5	N/A	N/A	N/A	N/A	N/A	N/A	N/A
6	Define a new role for HR function	Easier within the HR member and through the assignment of the responsibility to the ADG HR Finance and Corporate Services	150	750	1.500			800	High	555				N/A	N/A	N/A	N/A	N/A	N/A	N/A
7	Review the roles of internal committees and reduce their number	Accomplished as part of the activities of the work streams. Stage 2 carried out this recommendation	250	250	500			800	800	One time	Yes	Medium	555	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8	Transfer of low value procurement activities...	Accomplished within Procurement workstream and reinforced as a recommendation in FAO	500	500	1.000			800	One time		Medium	555	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Total General Initiatives		2.200	2.300	4.700	0	600	5.400	4.000											
9	Implementation of IPSAS as key initiative for the Finance division and FAO as a whole	Already being dealt with by FAO management out of RBR Stage 2 scope				0		600	One time	Included in Capital Expenditure of the Programme of Work and Budget...	None	555	N/A	N/A	N/A	N/A	N/A	N/A	N/A
10	Implementation of the Enterprise Risk Management (ERM)	Already being dealt with by FAO management out of RBR Stage 2 scope				0		600	One time	Covered by IPA (7.4.05 mil.)	None	555	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Total Finance		0	0	0	0	0	0	4.000											

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General Information
Investments / Costs / Savings

Food and Agriculture Organization of the United Nations
Root and Branch Review – Final Report